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ABSTRACT

In preparation for a 1996 restructuring at State Community College, in Illinois, from a state agency to an independent community college, a project was undertaken to develop a strategic plan to guide the transition. Specifically, the project sought to determine the necessary elements of and functions and activities required by the plan, appropriate people to be included on transition teams, necessary changes in college operations, and required in-service training for faculty and staff. First, a review was undertaken of literature related to administrative change and planning and a Transition Management Team (TMT) was appointed. Once committees were developed on the Team, strategic plans developed at other colleges that had made similar transitions were reviewed and a plan was developed and revised. The project found that essential elements of the plan were a revitalized mission statement, a set of planning assumptions, assignment of responsibilities, and procedures for evaluation and assessment. With respect to changes in college operations, it was determined that the new organizational structure would represent a 50% reduction in staff and faculty and a reduction in administrative positions. Contains 74 references. Appendixes provide a TMT agenda sheet, the college's mission and vision statement and organizational structure, TMT presentation documents, an institutional self-assessment instrument, and issues and strategies identified by the project. (BCY)

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DEVELOPMENT OF A STRATEGY FOR TRANSITION FOR STATE COMMUNITY COLLEGE FROM A STATE AGENCY TO AN INDEPENDENT COLLEGE

ED 409 965

Timothy D. Gould

A major applied research project presented to Programs for Higher Education in partial fulfillment of the requirements for the degree of Doctor of Education

Nova Southeastern University

May 1996

JC 970 429

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For my mother who courageously lost a battle with cancer can share but not take part and can see but not be seen as her loved ones share with her youngest, the first "Dr. Gould." Her passion for patience has transcended her leaving this world and has been the inspirational foundation for my educational accomplishments. We know your happy and proud. I love you mom . . . We Did It!!!

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DEVELOPMENT OF A STRATEGY FOR TRANSITION FOR STATE COMMUNITY COLLEGE FROM A STATE AGENCY TO AN INDEPENDENT COLLEGE

by
Timothy D. Gould
May, 1996

On July 1, 1996 State Community College will change its governance structure from a state agency to an independent community college within the state of Illinois. The purpose of this project was to develop a strategic plan that will guide the transition of the college from a state agency to an independent college.

There were five research questions that guided this study. First, what elements comprise a strategic plan and what should be included as a part of the plan? Second, what functions and activities need to be implemented to guide the strategic plan for the transition? Third, what people (positions) should be included on the transition teams? Fourth, what changes in operations and function of the college can staff and faculty expect and prepare for as a result of the transition? The fifth research question was what types of in-service training

activities should be implemented to inform staff, faculty, and external stakeholder concerns addressing changes in college function during and after the transition period?

A development methodology was used to address the project's objective: development of the strategy to guide the transition of State Community College from a state agency to an independent community college. The strategic plan is included in the appendix of this report.

Several procedures were utilized as part of this study. The procedures can be categorized into three major activities: data gathering, plan development, and plan evaluation and revision. The data gathering was comprised of a total of seven steps. The plan development phase of the study included five steps, and the evaluation and revision phase of the study included four procedural steps.

This study was divided into eight procedural steps. First was a review of relevant literature. Second was the appointment of a Transition Management Team (TMT). Third was the assignment of subsequent committees and the fourth step was the review of related previous transition and strategic plans from other colleges. The fifth, sixth, and seventh procedural steps were the assignment of a formative committee to develop a strategic plan, a summative committee to review and suggest revisions, and subsequent revisions for a finalized strategic plan. The eighth step was the appointment of a committee to evaluate the activities and progress of the strategic plan.

The elements that comprise a comprehensive strategic plan, the first research question, should include a new, revitalized mission and vision statement. Other important elements of strategic planning include identification of strategic issues, development of a set of planning assumptions, assignment of responsibilities, and procedures for evaluation and assessment.

The activities and functions for transition, the second research question, focus on the establishment of a Transition Management Team (TMT). The TMT must identify strategic issues and assign committees or transition teams to focus on those issues. Timelines need to be established to hear team findings and revise reports for the final transition plan.

What people (positions) should be on transition teams, the third research question, focuses on people who yield results. People are chosen to serve on the TMT and on transition teams based on their dedication to the change process.

The fourth research question focused on changes the staff can expect as a result of the transition process. Based on projected fiscal cutbacks, the staffing patterns of the new college may reflect as much as fifty percent reduction in staff and faculty. The organizational structure of the new college reflects a reduction on administrative positions and an overall flattening of the hierarchy of the new college.

The in service activities, the fifth research question, include such activities as employee development, non-employee development, and organizational development. Other activities are be geared toward job training and retraining.

The formulation of the Transition Management Team focused on the intended areas of identification of strategic issues, the establishment of subsequent transition teams, and the formulation of a new vision and mission statement for the college. The findings of the formative and summative committees provided a strong foundation upon which the transition plan will be based.

The recommendations for implementation will consist of all constituents and stakeholders of the college district embracing the transition plan as being an important process for their college. Specific recommendations from this study include:

1. Establishment of a Planning Council,
2. Establishment of an Internal Audit Team, and
3. Inclusion of all organizational levels of the institution on the Planning Council and the audit teams.

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Chapter 1

INTRODUCTION

Overview of State Community College

The Illinois legislature established State Community College of East St. Louis, Illinois in Chapter 122, Section 102-12-1 of the 1969 Illinois Statutes. When the college district was chartered in 1969, there were high risk factors identified, including low income feeder communities, high unemployment rates, and an unstable tax base to support a developing college. These factors led to the legislature's identifying the district as an experimental district. As a designated experimental district, the college was chartered as a state agency rather than as an independent community college.

Regional Demographics

The college district is located in East St. Louis, Illinois and is comprised of seven communities: Alorton, Brooklyn, Centerville, East St. Louis, Fairmont City, French Village, and Washington Park. The Illinois State Board of Education provided census data for community college districts throughout the state. The total district population for State Community College is 60,558 compared to the state average of 200,000 per district population. The tax base for the State Community College district is approximately $3 million with the state average approximately $4 billion per district valuation. Compared to the state average, the State Community College district exceeds all of the high risk factors defined as impoverished areas. In the district, 87% black and 12% white populations compare to the

other districts in the state which average 78% black and 14% white populations. The State Community College district has 39% of the population under the age of 20 and 30% of the population is between ages 20 and 40. State averages are 34% under age 20 and 27% between 20 and age 40. The communities that make up the college have a large percentage of low income families. Across the state 12% of the families have five or more family members whereas the State Community College district has 54% of the households that are five or more family members. In this district 68% of the households realize an income of less than $25,000 and the state average is up to $40,000 per household. The average income per family member in the state is about $10,000 and the average income per family member in the State Community College district is less than $5,000.

In the State Community College district 34% of high school students drop out compared to a 23% high school dropout rate state-wide. Only 25% of the in district students who do graduate high school go on to college which is significantly lower than the state average of 72%. Only 3% of the population in the State Community College district go on to professional or graduate degrees compared to an 8% average for other districts in Illinois.

Mission and Purpose

State Community College is guided by a mission and vision statement. The Mission Statement for State Community College as it appears in the college catalog states,

> State Community College provides high quality educational programs and services to prepare constituents to become productive citizens. To this end, the College provides diverse, comprehensive educational programs that are geographically and financially accessible without regard to physical abilities, age, gender, ethnic origin, or religious affiliation.

The Vision Statement which guides the activities of the college is

> to develop a world-class workforce to compete in a global economy and to contribute to the holistic growth and development of the community.

To achieve the mission and realize the vision for the college there are ten functions which the college provides to constituents of the district. The ten functions are:

1. Provision for General Education
2. Provision for Baccalaureate Oriented Programs
3. Provision for Career Oriented Programs
4. Provision for Adult Education
5. Provision for Continuing Education
6. Provision for Developmental courses
7. Provision for Student Personnel Services
8. Provision for Student Activities
9. Provision for Community Education
10. Provision for Community Services

Accreditation and Affiliations

State Community College is accredited by the Commission of Institutions of Higher Education of the North Central Association of Colleges and Schools (NCA). Accreditation by the NCA means that the college meets the criteria and the general institutional requirements of the agency.

State Community College is a member and affiliated with, American Association of Community and Junior Colleges (AACJC), The American Associate of Collegiate Registrars and Admissions Officers (AACRAO), Illinois Association of Collegiate Registrars and Admissions Officers (IACRAO), North Central Council of Junior Colleges (NCCJC), Illinois Community College Trustee Association (ICCTA), Illinois Community College Faculty Association (ICCFA), the Illinois Community College Student Association (ICCSA), National Association of Student Personnel Administrators, and the North Central Association of Colleges and Secondary Schools.

State Community College is recognized by the Illinois Community College Board (ICCB), the Department of Vocational and Technical Education (DVTE), and the Office of Superintendent of Public Education in Illinois. State Community College is approved by the Illinois State Approving Agency for Educational Benefits under the G.I. Bill and the Illinois State Scholarship Commission.

Program Offerings

State Community College offers Associate of Arts Degree programs, Associate in Science Degree programs, Associate in Applied Science programs, and vocational certificate programs. State Community College also offers programs in adult basic education, general education, and varied public service programs. There are 13 specified areas of academic transfer in the Associate of Arts degrees and 11 degree areas for Associate in Science degrees. In the Career-Field there are 12 areas in which

students can earn an Associate in Applied Science degree, and 31 areas in which students can earn a vocational certificate.

There are various offerings through adult education and community services programs. The college also offers three vocational certificate programs and academic transfer courses to the inmates at the minimum security prison, Southwestern Illinois Correctional Center in East St. Louis, Illinois.

Governance

The seven member Board of Trustees is the governing board of the college with final approval for all policy decisions. The board members serve two year terms and no more than two of the board members are due for re-election at any one time. This rotating term of membership provides that no more than two of the seven members will be replaced at any one election. The president of the college reports directly to the Board of Trustees.

As a state agency accountable to the Illinois Community College Board (ICCB), the ICCB is ultimately responsible for fiscal matters and approval of purchase requests exceeding $3,000. Until July 1, 1995 the expenditure limit allowed to the president of the college was only $500. Prior to July 1, 1995 the president of the college could not approve any college expenditure in excess of $500. This meant that utility bills and many other daily operation expenditures had to be processed through the ICCB in the state capital before payment could be made. In July, 1995 that $500 limit was increased to $3,000 for presidential approval of expenditures.

Organizational Structure

State Community College is going to become a new college as a result of the transition which takes place on July 1, 1996. The current structure for the college (in place for the past 25 years) is a president, dean of academic services, dean of students, dean of administration, and a dean of vocational education and allied health services. Department chair persons for vocational and academic division clusters report to their respective divisional dean.

On July 1, 1996 the structure for the new college will be much more centralized. There will be three deans in lieu of the current four deans and under the deans will be directors of respective divisions. The organizational structure of the college will include less hierarchy and will improve organization of clusters of operations, programs, and services.

In the Fall 1995 term the total student headcount for State Community College was 600 students. With such a small student population, the current administration could not justify keeping the hierarchial steps and the organizational structure that has been top-heavy for the past decade. As the college population grows and more funds become available, it may be necessary to add positions back into the structure. When the new college begins operation on July 1, 1996, there will be a smaller structure and more efficient use of human resources to preserve diminishing fiscal resources.

Nature of the Problem

In November 1994, the constituents from the seven communities of the college district voted to become an independent community college district in the state of Illinois. The constituents decided to develop the college as their own and take financial responsibility for the college. Subsequently, they voted a property tax increase to help fund the college and to change the governance structure of the college to become independent of state control. Indeed, part of the reason for the desire for autonomy from state control is to alleviate many of the restrictions imposed on the college as a state agency. Firestone and Nagle (1995) state that the concept of regulation and over-regulation can be regarded as interference by a too controlled system (p. 100). Regulation becomes interference when too much reporting becomes a burden. This clearly has been the case for State Community College as current practices and procedures for the college involves several levels of bureaucratic approval for all expenses, purchases, travel, time-off requests, and all levels of daily operations. This current practice is very cumbersome and inefficient. There is little local control over daily operations of the institution.

When the constituent communities voted to create an independent community college, a need developed for a strategic plan to guide the transition from a state agency to an independent college district. This project is designed to be the vehicle by which that strategic plan will be developed and subsequently implemented.

The change from state agency to independent college takes effect on July 1, 1996. The strategic plan needs to be developed and implemented in a timely manner to guide the transition activities successfully. If the strategic plan guiding the transition is not thorough and complete, the transition will fail. A properly implemented plan should increase the efficiency of the transition.

Purpose of the Project

The purpose of this project is to develop a strategic plan to guide the transition of the college from a state agency to an independent college. This project is not intended to develop the step-by-step procedures for the transition, rather the development of the strategic plan and the strategies as a guide for transitional activities.

Background and Significance of the Problem

The process of autonomy for the college is designed to achieve growth and self-sufficiency by strengthening its programs, institutional management, and fiscal stability (State Community College Strategic Plan, 1995, p. 4). The need for a strategic plan to guide the transition is stated in the State Community College Strategic Plan for 1995:

> A strategic plan is a necessity for all colleges, but especially for colleges in transition. The strategic planning process yields benefits for the college because it focuses attention on the institution's future and how to get there. The community has requested a strategic plan for the college. Community leaders have actively worked with the college in the strategic planning process. They want a plan that can successfully guide the college through transition. (p. 5)

According to Baldridge and Okimi (1982) planners often make the process of strategic planning much more complicated than it needs to be. They state four contributions to ineffective plans:

1. Planning processes are complicated and time consuming,
2. There is a gap between planners and doers,
3. Frequent executive turnover disrupts the planning process, and
4. Budgets are poorly linked to plans. (p. 15)

Each of these four factors contributing to ineffective plans has plagued State Community College. Several strategic plans have been developed, but have been too cumbersome and complicated for successful implementation. Some plans have displayed the gap between planners and doers. There are those who develop the plans, and they expect others to implement and/or embrace the plan as enthusiastically as the developer. The fourth item from Baldridge and Okimi is that budgets are poorly linked to the plans. In order for any plan to work where there is a cost, there needs to be significant input relative to budgetary considerations. Either extra funds need to be allocated to meet the needs of the plan or the plan needs to be revised to be realistic with existing funding resources. The most significant obstacle in the successful implementation of strategic plans by State Community has been the administrative turnover of several deans and three presidents in past four years.

The strategic plan to be developed as the culmination of this project will be designed to reduce current inefficient operation of the college and to provide a vehicle to better

develop rules, regulations, policies, and procedures for the college. This project has significance to State Community College in that the strategy to be developed and subsequently implemented will guide the operations and the procedures for all of the transition activities. As the author of the transition strategy, I served as a member of the Transition Management Team (TMT). This team was challenged with the function of overseeing all other committee activities and of being responsible for all logistics of the transition. This team is comprised of the primary leadership from the college, the community, and the political entities which are working together to initiate the transition.

Research Questions

As State Community College moves from a state agency to an independent community college there are issues and questions which need to be addressed. There are five research questions which will guide this project. First, what elements comprise a strategic plan and what should be included as a part of the strategic plan? Second, what functions and activities need to be implemented to guide the strategic plan for transition?

Third, what people (hierarchical positions) should be included on the transition teams? Fourth, what changes in operations and functions can staff and faculty expect and prepare for as a result of the transition? Fifth, with what types of in-service training activities should be implemented to inform staff, faculty as well as external stakeholder concerns

addressing changes in college function during the transition period?

Definition of Terms

For the sake of clarity the following definitions will be utilized throughout the process of this project.

Autonomy. The term autonomy in this text refers to the college gaining independence as a state agency to becoming an independent, state recognized, accredited community college.

Experimental college. In this context, the state legislature chartered State Community College as an experimental college in that it is a state agency and not an independent college. Experimental college status was designated to this college since it does not have all the rights of an independent community college. These rights include exemption from certain funding sources, accreditation, and recognition by the state governing board. The designation as an experimental district limits the number of state and federal grants and other external funding sources which are utilized by independent community colleges. The college was chartered as an experimental district because there was insufficient funding from the local tax base to support a community college. As an experimental district, the college has received conditional recognition by the Illinois Community College Board (ICCB) which is the statewide governing board for the community college system. When the college gains autonomy, full accreditation and recognition as a community college will be granted by the ICCB.

Transition. The transition referred to in this project means the process, activities, duties, and functions which will move the college from state control to independent college status.

Chapter 2

REVIEW OF LITERATURE

Overview

The basic concept of strategic planning is to address change in the institution and the environment in which the institution exists. Peterson (1986) states that the primary purpose of strategic planning is to,

> foster institutional adaptation by assessing congruence between an institution and its often changing environment, by developing a viable design for the future of the institution, by modifying it as needed, and by devising strategies to facilitate its accomplishment. (p. 140)

Peterson (1986) goes on to state that strategic planning encompasses four broad elements (p. 140). First, environmental scanning and assessment which is necessary to identify trends or potential changes in the environment and their implications. Second, is the institutional assessment which is designed to clarify institutional strengths, weaknesses, problems, and capabilities of the institution. The third element is a values assessment to consider values, aspirations, and ideals of the various constituencies and responsibilities of the institution to them and the larger public. The final broad element of strategic planning introduced by Peterson is the actual creation of the master plan which is to devise a strategic pattern, design or direction for the institution on the basis of the first three elements (p. 141). Peterson (1986) states that the simplest concept of strategic planning is that "it seeks to establish fundamental assumptions about the environment, the institution, and the future of the institution" (p. 14). The assumptions

concerning strategic assessment include policy, economic, and political decisions from both the institutional and the environmental entities.

Peterson (1986) states that essential components of an assessment include:

1. Environmental trends and impact on the institution,
2. Assumptions of institutional strengths and weaknesses,
3. Philosophy and rationale of the institution,
4. Proposed mission, role, and scope of the institution and its goals and objectives,
5. Organizational, administrative, and governance structure of the institution,
6. Strategies or policies to guide the fulfillment of the plan, and
7. Tentative (and flexible) set of priorities. (p. 141)

Strategic planning deals with the organization-environment interface and is intended to provide a framework within which tactical planning occurs. Cook (1993) addresses the necessity of interface between college and environment when stating that community solidarity may be threatened unless planners and leaders find ways to gently merge the groups together (p. 9).

Rothwell and Kazanas (1994) contend that

> strategic planning is chiefly the concern of top-level managers. It is long-term goals and objectives. Coordinative planning is intermediate-term and is the primary concern of middle-level managers. Operational planning is short-term and is the primary concern of first line supervisors. (p. 8)

These hierarchical levels of planning must be incorporated into the State Community College strategic planning process. The Transition Management Team (TMT) will be responsible for the strategic planning phase, and the administrative cabinet of the college will be responsible for the coordinative planning activities of the transition process. The operational planning activities of the transition will be the responsibility of the department chairpersons. Conceptually, the strategic (long-range), coordinative (intermediate-range), and operational (short-term) planning activities are accountable to a specific hierarchical level of the management teams.

Rothwell and Kazanas (1994) hold that

> The essence of strategic planning and thinking is the awareness of how future conditions may affect decisions or past actions. Strategy making helps avert problems or seize opportunities that may arise at a future time that are consequences of external trends, events or conditions over which managers have little control. In short, strategic planning is based on adapting to--even anticipating--environmental change. (p. 237)

Kotter (1990) points out that strategic planning does not produce plans rather it creates a vision and develops strategies (p. 237). This project is designed to develop those strategies. According to Riches and Parmenter (1991), past failures to achieve smooth transition to independence has been partly due to lack of collaboration between schools and community leaders. It is necessary to encourage support from both the community and the college which will be of benefit in the communications and collaboration efforts from each entity. Harris, McIntyre, Littleton, and Long (1985) hold that institutions must consider

themselves to be an open system. A mutual dependence between the college and the local community exists (p. 93). The college depends on the community for students, employees, and a tax base. The community depends on the college to provide educational and employment opportunities. Harris et al. (1985) hold that "institutions enhance the community, institutions cope with community pressures, and the community deals with social interactions and social transactions of the institution" (p. 93).

Katz and Kahn (1978) support Harris et al. in the open systems approach to organizational existence. Although the following Katz and Kahn research is somewhat dated, they are considered by the professional community as having set the foundation for systems theory and the systems approach to organizational functioning. Katz and Kahn (1978) hold that a "theory of change must identify ways in which system changes will occur: what altered inputs or environmental circumstances will have what effects on system properties and outputs" (p. 654). The strategy for change, according to Katz and Kahn (1978), is based on the following points of consideration:

> point of entry, initial state of the system, preferred state, method of change, primary target, hypothesized linkage between primary target and preferred end-state, and the method of assessing change. (p. 655)

The strategy to be developed to guide the transition process for State Community College will incorporate where the process begins, where does it want to go, how will it get there, and how to determine effectiveness of the transition plan.

Katz and Kahn (1978) hold that "social organizations are flagrantly open systems in that the input of energies and the conversion of output into further input consists of transactions between the organization and its environment" (p. 20). They state further that there are ten characteristics of open systems which must be identified and recognized and integrated into organizational and environmental mutual co-existence. Each of the ten characteristics will be defined and described how it relates to State Community College and the Community College District.

The first characteristic is input. Open systems import some sort of energy from the external environment. "Social organizations must draw renewed supplies of energy from other institutions, or people, or the material environment. No social structure is self-sufficient or self-contained" (p. 23).

The energy input that is provided to State Community College from the immediate environment includes students, employees, commodities for organizational operation, and a tax base for income. The extended environment for State Community College would include entities which provide input such as state funds, federal funds, accreditation agencies, certification agencies, and any entity which provides various inputs for college operation.

The second characteristic of open systems from Katz and Kahn (1978)is throughput.

> The system will transform the energy input provided by the environment. The organization creates a service and the activities associated with the reorganization of the input

> create an altered input through various activities and functions. (p. 23)

The activities of reshaping the input to create the output. Throughput activities to meet the college mission for State Community College includes teaching, training, specialized programming. Other associated activities not necessarily related to the mission but regarded as essential for throughput activities include jobs and retraining of staff and economic impact on the immediate and extended communities.

Katz and Kahn's (1978) third component of systems theory is output.

> Open systems export some product into the environment, whether it be the invention of an inquiring mind or a bridge constructed by an engineering firm. Continuing to turn out a system product depends on the receptivity of the environment. (p. 24)

If the services of a college are unwanted, that service becomes socially insignificant. The output for State Community College includes educated students, quality programming, employed citizenry, economic impact on purchasing and buying power for district constituents.

The fourth element of open systems identified by Katz and Kahn (1978) is cyclic events which includes "the pattern of activities of the energy exchange has a cyclic character. The product exported into the environment furnishes the sources of energy for the repetition of the cycle of activities" (p. 24).

Students take courses and graduate which produces income to provide more services to new sets of students. This process

provides both the organization and the environment the cycle of activities to continue to support each other.

The fifth characteristic identified by Katz and Kahn (1978) is negative entropy. To survive, open systems must reverse the entropic process; they must acquire negative entropy. "The entropic process is a universal law of nature in which all forms of organization move toward disorganization or death" (p. 25).

All open systems are subject to the law of entropy; they lose inputs or the ability to transform those inputs and they die.

> While the organization is functioning successfully, the entropic process is arrested, or reversed. The cycle of input, transformation, and output is essential to system life, and it is a cycle of negative entropy. (Katz and Kahn, p. 25)

The entropic influences which have affected State Community College include loss of students, loss of external funding, non-accreditation form external agencies, bad attitudes of staff, faculty, and local political influences. Basically, anything that can reflect negatively that hurts the organization can be regarded as an entropic process.

Feedback is the sixth Katz and Kahn (1978) characteristic identified as a systems component.

> Inputs are informative in character and furnish signals to the organization about the environment and about its functioning in relation to the environment. The simplest type of informational input for all systems is negative feedback. (p. 26)

Information feedback either validates current processes and practices or necessitates change in current process and practice.

Feedback is necessary but, too much negative feedback encourages the entropic nature of the college.

The seventh characteristic identified by Katz and Kahn (1978) is the steady state and homeostasis.

> The steady state is a representation in constancy of energy exchange between the organization and the environment. A steady state is not a motionless or true equilibrium. There is continuous inflow of energy from the external environment and a continuous export of the service by the organization. (p. 26)

When the college realizes a steady state there is basically no growth nor a loss in service provided or exported energy. It does not represent stagnation, merely no significant growth and fighting the entropic process of the organization and environment.

Katz and Kahn (1978) state that differentiation is the eighth characteristic of the systems approach to organization functioning. "Open systems move in the direction of differentiation and elaboration. Diffuse global patterns are replaced by more specialized functions" (p. 29).

State Community College recognizes this concept of systems functioning as they practice diversification and specialization in program and course offerings. As the college provides more and diverse programs and services reflects the idea of differentiation.

The ninth characteristic identified by Katz and Kahn (1978) is integration and coordination.

As differentiation proceeds, it is countered by processes that bring the system together for unified functioning.

"Coordination is the addition of various devices for assuring the functional articulation of tasks and roles. Integration is the achievement of unification through shared norms and values" (pp. 29-30).

Katz and Kahn (1978) continue by stating that

> For large social organizations, coordination rather than integration, is the rule for providing orderly and systematic articulation--through such devices as priority setting, the establishment and regulation of routines, timing and synchronization of functions, scheduling and sequencing events. (p 30)

Katz and Kahn (1978) identify equifinality as the tenth characteristic of open systems for organizations.

> Open systems can reach the same final state from differing initial conditions and by a variety of paths. As open systems move toward regulatory mechanisms to control operations, the amount of equifinality is reduced. (p. 30)

Equifinality is the concept of flexibility to reach the goals. The college may set the goals, but individual departments are allowed flexibility to reach those organizational goals. The more structure there is in the organization, the administration allows for less equifinality. The military for instance is very structured and does not allow for much individual input to reach objectives and goals. A college, on the other hand may allow for individual and/or departmental input to reach the organizational defined goals.

Organizations must co-exist with the community (external environment) as an open system (Harris et al. 1985, p. 93; Katz & Kahn, 1978, p. 20; Rothwell & Kazanas, 1994, p. 237). The internal operations of the strategic planning process must certainly meet and even anticipate external changes. The process

should be proactive, not reactive. Organizations which exist within an environment must realize and share a mutual coexistence and a mutual dependence upon each other.

Leadership and Change

Organizations must promote an open systems concept and philosophy of operation and the organization must function as an open system with a mutual interdependence shared and nurtured with the external environment (Harris et al. 1985, p. 93; Katz & Kahn, 1978, p. 20; Rothwell & Kazanas, 1994, p. 237). Senge (1990a) holds that the basis for organizational systems functioning is contingent upon systems-thinking for leaders (p. 15).

Senge (1990a) states that there are certain skills necessary for a leader, if the leader is to promote a systems-thinking and systems-functioning organization. First, "leaders must see interrelationships, not just things or processes" (p. 15). The interrelationships of all internal and external stakeholders is much more important than locating specific causes and courses of action. The second leadership skill identified by Senge (1990a) is "moving beyond blame" (p. 15). The leadership must seek resolution to system, environmental, and operational problems, not seeking persons or events to blame. The third skill for systems-thinking leadership is "avoiding symptomatic solutions" (p. 15). Leaders must avoid focusing on symptom fixing or band-aid resolutions. Effective leadership must seek System resolution.

Senge (1990a, p. 18) goes on further to challenge leadership with five essential activities to systems and strategic problem resolution:

1. Elicit the Dilemma. Leaders must identify opposite values that form the 'horns' of the dilemma,
2. Mapping. It is necessary to locate the opposing values as two axes and help the team identify where they see themselves on those two axes,
3. Framing and Contextualizing. It is the responsibility of the leadership to soften the variance between the opposing values,
4. Sequencing. Leaders, at this point, must break the hold of static thinking, and
5. Synergizing. The critical function of systems-thinking leadership is to get opposing values and systems to work together for the common good of the organization. (p. 18)

One thing people resist most is conflict. Change is conflict and for most people, change is avoided. For a leader to follow these five activities proposed by Senge, a leader will deal with significant amounts of conflict and anticipated change.

Six themes of leadership have been identified (Kirkpatrick, 1985, p. 35) that leaders must accept:

1. Understand that people are affected by change,
2. Do not force change,
3. Effective communication is essential,

4. Involve those affected by the change in the planning and decision making process,
5. It takes time for change to be accepted, and
6. Strategies for deciding on changes and getting them implemented are needed.

Kirkpatrick seems to be congruent with Bolman and Deal (1991) and their human resource frame of management (p. 27). There is an emphasis on the human side, an empathy for the employees while maintaining the integrity of the organizational mission.

Kirkpatrick (1985) states that there are three key ingredients to the change process. The first ingredient is empathy. "Leaders must know their people, understand why some people resent and resist change while others accept and welcome change" (p. 256). Leaders should anticipate how people affected by change will react to a contemplated change.

The second leadership ingredient proposed by Kirkpatrick (1985) is communication. "Leaders must let people know as far in advance as practical that change is contemplated" (p. 256). Leaders must provide reasons for the anticipated change as well as what the changes will be and how the changes will be implemented. Leaders must make sure that people understand why, what, when, and how the changes are to be expected. One thing that can negate the best laid plans is ineffective communications and stakeholders who do not understand what is going to take place.

Kirkpatrick (1985) proposes the third key ingredient to the change process is participation. "Before a decision to change is final, leaders should get input from those involved" (p. 257). "Leaders should listen to the stakeholders and consider opinions as well as facts" (Kirkpatrick, 1985, p.257). To the greatest extent possible, leaders should use the input of others and if the input is not used, explain why (Kirkpatrick, 1985, p. 257). Nothing seems to deflate morale more than the appearance of insincerely seeking input. It appears to be an insincere exercise in futility. If there is good reason for not using certain input, leaders should communicate to people why it was not used.

Kirkpatrick (1985) introduces a seven step model for organizational change. First, "the leadership must determine the need or the desire for change" (p. 101). Second, "there must be a tentative plan prepared" (Kirkpatrick, 1985, p. 101). The emphasis here is on the idea of tentative. "It must be flexible, subject to modification and change. It must be open minded, non-defensive, and open to change" (p. 101).

The third step in the Kirkpatrick model (1985) is to "analyze probable reactions. There will most likely be a full range of reactions to proposed change; resentment or resistance, neutral or no affect, to acceptance and welcome change" (p. 102). Leaders must use their skills to determine which reaction people experience and then they must meet the needs of the people based on those reactions.

Fourth is the "making a final decision" (Kirkpatrick, 1985, p. 103). Several options confront the leader at this point, "should it be a manager decision, group decision, which approach should be implemented? What is reaction, possible reaction, and how does the leadership confront those reactions" (p. 103)?

The fifth step is the "establishment of timetables" (Kirkpatrick, 1985, p. 104). Kirkpatrick (1985) states further that "leaders should consider incremental achievement and make it participative. Slower, evolutionary change processes tend to be longer lasting" (p. 104). Leaders must understand that the level of resistance also determines the speed of change.

The sixth step in the Kirkpatrick model (1985) is "communicating the change" (p. 105). This is an ongoing and continuous process which involves significant two way communication. It is essential that leaders listen to reactions and suggestions. Most important is that communication must be accurate and often.

The seventh and final step in the Kirkpatrick model (1985) is "implementing the change" (p. 106). "Implementation is a continuous and ongoing process which includes evaluation and assessment activities" (Kirkpatrick, 1985, p. 106). Leaders must continue to focus on communication. Kirkpatrick (1985) states that it is necessary to recycle as appropriate. Leaders may need to recycle back to a previous step as needed (p. 106).

The change process of any organization will create conflict and conflict, by human nature, is resisted. Therefore, change will most likely be resisted by some stakeholders. Since

organizational change deals with organizational values, one aspect of the organization is affected is the organizational culture. Kotter (1990) explains that the culture of an organization is important in three ways:

1. Culture can influence whether executives look for and develop people with leadership potential,
2. Culture influences whether people with leadership potential are encouraged to lead or if they are discouraged, and
3. Organizational culture determines informal networks and how they work. (p. 127)

The organizational culture is a primary ingredient in the effectiveness of change and leadership affect on that change. Kotter (1990) states that "an effective leader has a vision and conviction that a dream can be achieved, and inspires the power and energy to get it done" (p. 136).

Bensimon, Newman, and Birnbaum (1989) state that leadership imposes values and value systems on all stakeholders (p. 65). Burns (1978) holds that there are two basic types of leadership models (p. 73). Transactional leadership exists on a mutually agreed upon roles, there is a rapport rather than a relationship. Burns (1978) contends that "with transactional leadership there is no enduring purpose to hold people together. Although a leadership act takes place there is nothing to bind the participants together" (p. 73).

Transformational leadership, in contrast to transactional leadership, is more personal in nature. There is a personal

relationship rather than a rapport among participants. According to Burns (1978) the leader and follower raise each other to higher levels of motivation and morality. The purpose and actions which started out separate but related become fused (p. 74).

Transactional leadership correlates with Bolman and Deal (1991) and their idea of the structural frame of management (p. 27). The activities and transactions are task oriented. Transformational leadership corresponds to Bolman and Deal (1991) and their concept of the human resource management frame (p. 27). This style is more relationship oriented.

Before any change can be implemented by any organization it is necessary to institute a planning process. Katz and Kahn (1978) identify some problems with planning that must be addressed by leaders.

> The rapidity of change puts a premium on the anticipation and direction of these changes through systematic changes. Any organization that does not have a long term plan is risking destruction [entropy] or a series of continuing crises in its operation. (p. 520)

The generic policy decision in organizations with respect to planning has to do with the extent to which there will be programming for innovation [differentiation and equifinality]. Katz and Kahn (1978) recognize staff functions for programmed planning. "First is to develop specific alternative courses of action for anticipated change. The second staff function is to gather intelligence about environmental changes and reactions to organizational programs" (p. 520).

Once the necessity for change has been accepted it is necessary for the organizational leadership to consider what changes will be implemented. Bertado (1990, p. 23) suggests four formulation stages of repositioning for the future. It is necessary for organizational leadership to:

1. Establish a long term commitment to customer-perceived quality in product or service,
2. Establish a determination to re-evaluate its organizational structure in line with an ethos of success-through-people,
3. Establish a desire to absorb and develop recognized winning formulae (of competitors) by association, and
4. The adoption of a visionary approach to strategic planning, free of the rigid extrapolation of history common in the past. (p. 22)

Bertado (1990) states that change and visioning needs to be focused around agency mission and philosophy. "A strategic architecture can be devised around the core competencies of the enterprise. The natural outcome is the progressive evolution of a new culture, coupled with collective motivation towards the chosen goal" (p. 23).

Bertado (1990) inquires of visioning, "is the strategic vision able to demonstrate a clear intent, capable of articulation and is it consonant with the developing environment" (p. 23)?

The leadership role is a significant one in the process of organizational change. The leaders must communicate why change

is necessary and what changes will take place. Constituents must be well informed and communications from the organizational leadership must be ample and accurate.

The leadership of an organization is directly responsible for individual morale and the organizational climate. Plans for vision and change must be built around the intended climate of the organization. Cosand (1986) states that

> master plans are meant to be guidelines for growth and development of the organization. They are not meant to be an arbitrary set of regulations. The planning process is important as it sets the morale and climate for the institution and will influence the outcome of the process as a whole. (p. 176)

When the leadership of the organization commits to change and sets the visions and strategies, it is necessary for communication of changes and visions to be integrated with internal and external organizational stakeholders. There must be significant collaboration between the entities if the environment and organization are to mutually coexist.

The Florida Commission on Higher Education addresses strategic plans and the planning process of systems operations when the findings state that "a strategic plan must confront reality and identify challenges that cannot be avoided" (p. 9). The specific areas mentioned by the Florida Commission of Higher Education (p. 9) include:

1. Identification of a distinct institutional mission,
2. Redirection of resources,
3. Commitment to articulation,
4. Definition of post secondary education in economic development, and

5. Identification of mutual goals of the community and the college.

The desire to change is only the first step in a long process for change. There must be leaders that are visionary and set realistic and attainable goals and objectives. The visions that are developed by the leadership must be consistent and congruent with the organizations' mission and philosophy. After the desire for change has been established and accepted and the leadership roles have been identified, the strategic plans to realize the vision and affect the changes must be developed and implemented.

The Planning Process

Fundamental change, as defined by Lorenzo and LeCroy (1994), is "a new form of change where visioning goes beyond the change efforts of the past" (p. 14). Fundamental change, according to Lorenzo and LeCroy (1994),

> requires examination of founding philosophies, mission and social purpose, governance and decision-making processes, the traditional roles of faculty and administration, and the operating practices and delivery systems typically employed. (p. 15)

Fundamental change has the potential to transform the essence of the institution. Barr (1993) suggests that there is a paradigm shift in that community colleges need to reshape their mission from providing instruction to producing learning (p. 2). The old paradigm provided that faculty were teachers providing classroom based instruction. Under the new paradigm, faculty would be primarily designers and managers of learning experiences and environments. In addition, Barr (1993) suggests "the new

paradigm allows for the fulfillment of the student outcomes accountability movement. Under the new paradigm, outcomes assessment is a necessary component of successful functioning" (p. 2).

Albert Einstein was quoted as saying "the significant problems we face cannot be solved at the same level of thinking we were at when we created them" (Barr, 1993, p. 2).

The suggestion from Barr and idea from Einstein provide that we must transform our thinking to address the new problems on a different plane and level. According to Barr (1993) a paradigm is "a set of rules that describes boundaries and tells us what to do to be successful within those boundaries" (p. 4). Barr, (1993) goes on to state that "a paradigm is largely an invisible structure through which we think. It is not something about which we think. A paradigm is to thinking what the eye is to seeing" (p. 4).

Barr (1993) states that a paradigm shift occurs when two conditions are met. "First, difficulties begin to appear in functioning of the existing paradigm which cannot be handled adequately. Second, there must exist an alternative paradigm that will offer hope for solving the problems of the old paradigm" (p. 7).

The paradigm shift offered by Barr (1993) confirms Lorenzo and LeCroy (1994) and the idea of fundamental change wherein there needs to be an alteration in the process of thinking about the problems and how solutions to problems will be generated. The planning process that leaders of community colleges need to

recognize include the ideas of fundamental change and a shifting paradigm. The increasing complexities of the internal and external environments and diminishing resources are primary bases for the needed change in approach to problem solving. As Einstein stated, we cannot solve problems with the same level of thinking that created them.

One significant concept involved with shifting paradigms and planning processes involves the concept of building community. In a 1993 report on the future of community colleges, the American Association of Community Colleges (AACC) asked:

> Can there be community beyond the classroom? Since there will be more and more non-traditional students, wedging course work between other obligations, is it realistic to view the college as something more than a network of unconnected classrooms? (p. 29)

Piland (1995) offers input relative to fundamental change, changing in thinking and paradigm shifts when he suggests that

> Innovative instructional approaches and delivery systems to enhance student learning and increase institutional productivity are solid ideas whose time have come. The change to make it happen will ring hollow if faculty and staff don't know how to do it or have a negative or lukewarm attitudes toward changing the paradigm from teaching to learning through innovation. (p. 26)

Building community and innovative learning approaches must be integrated into strategic planning processes. External constituencies must provide information on what they want and internal stakeholders must incorporate those needs into operational and strategic plans.

The AACC Commission considers this to be the most essential issue facing community colleges today. The building of community

for the community must be a significant part of any planning process. According to the AACC Report (1993),

> There is little connection between instructional programs and campus student services. Often there are sharp divisions between part-time and full-time students, and even more frequent is the separation between day and evening students and programs. (p. 29)

The AACC Report accentuates the idea of lack of community in that a community college campus can be a very lonely place for many evening students who are not considered real students. The AACC states further that "the challenge in the building of community is to extend the resources for learning college-wide and to see academic and non-academic life as interlocked" p. 29).

The findings of the AACC Report (1993) suggest that more creative ways must be found to "extend the discourse, build relationships, and stir a spirit of shared goals between students and community" (p. 30). The AACC Report (1993) concludes in stating "the key to creating community is effective leadership. The president of the college must be able to collaborate, bring together various constituencies, build consensus, and encourage others within the college community to lead as well" (p. 41).

The ideas of building community and innovative instruction must be a foundation for the development of any planning process. If the organization is to coexist with in the environment, there needs to be mutual collaboration, exchange, and input from all constituencies for effective and meaningful accomplishment of the college mission and vision.

When developing the strategies for the college, Keller (1983) suggests that "the most important part of any strategy is

the quality, daring, and sagacity of the strategy formulation, not who does it" (p. 77). For instance, if the college wants to develop an enrollment strategy it will be necessary to focus on the strengths of the programs and curricula and pursue students with strengths in those areas.

> From the studies conducted, Keller (1983) states In our interviews, we never heard any administration deny the importance and virtue of planning within the college. Moreover, it was generally accepted that the plan should be comprehensive. Despite this unanimous acceptance of the importance of planning, we saw little evidence of planning in American colleges and universities. (p. 99)

Keller (1983) states further that few administrators thought academic plans were useful in decision making. "At best, plans are a wish list of what they want Santa Claus to bring. At worst, they are fantasies" (p. 99).

Keller (1983) contends that before planning, it is essential to concentrate on good management. "A campus can take a giant leap forward by doing nothing more than improving the administration of their current operations. Good administration facilitates good education" (p. 123).

Keller (1983) suggests that there are six guiding principles to strategy development (pp. 143-151):

1. Academic strategic decision making means that a college and its leaders are active rather than passive about their position in history;
2. Strategic planning looks outward and is focused on keeping the institution in step with the changing environment;

3. Academic strategy making is competitive, recognizing that higher education is subject to economic market conditions and to increasingly strong competition;
4. Strategic planning concentrates on decisions, not on documented plans, analyses, forecasts, and goals;
5. Strategy making is a blend of rational and economic analysis, political maneuvering, and psychological interplay. It is participatory and tolerant of controversy; and
6. Strategic planning concentrates on the fate of the institution above everything else.

Keller (1983) also points out six principles of what strategic planning is not. According to Keller (1983) strategic planning is not:

1. The production of a blueprint,
2. A collection of departmental plans compiled and edited,
3. A form of surrender to market conditions and trends,
4. Something done at an annual retreat,
5. A way of eliminating risks, and
6. It is not an attempt to outwit the future. (pp. 140-142)

Keller not only presents what strategic planning is, he also identifies ideas of what planning is not. Strategic planners must keep these ideas in mind before developing any strategies and activities for their college plan.

Sheldon (1994) shares that

> most institutions go through planning exercises that seem designed to create a document than to actually produce useful changes in the organization. The planning process must be more than a ritual for the purpose of having a

> planning document on file. An effective planning process is one that is focused on changing and elevating the way a college thinks and acts. The plan itself is secondary to the change in quality of thinking as a result of the process. (p. 4)

Sheldon (1994) states further that

> annual planning is a short term, one year set of goals and objectives. Strategic planning includes input from all departments and the community. It is focused on developing clear priorities and empowering all stakeholders to participate in relevant activities. It also includes a provision for measurement, evaluation, and refinement. (p. 5)

Strategic planning is structured to focus on resources that will be most effective to the colleges success in the integration of internal and external constituencies. The structured process for strategic planning consists of six specific steps (Sheldon, 1994, p. 6) which are:

1. The clarification of the essential values of the college and the development of a mission statement,
2. The analysis of the colleges' strengths and weaknesses and external threats and opportunities,
3. The identification of key areas for attention and development of goals within those areas,
4. The development of specific operational plans to accomplish those goals,
5. The implementation of those plans, and
6. The evaluation of results, which leads further into plan development.

Significant evidence has been presented which stipulates that the strategic planning process must emphasize change, positive image development, and growth within the environment.

Wynne (1993) presents one such plan by the State of Mississippi Community College System. Wynne (1993) introduces the concept of repositioning which is "the process of ensuring that a positive image of your service and/or institution is so well placed in the minds of decision makers that they automatically think of you when decisions are imminent" (p. 18).

According to Wynne (1993) the Mississippi Community College System leaders applied the repositioning concept in that leaders of the repositioning effort "chose to present the system as the institutions of tomorrow, willing to take the risks associated with aggressive leadership and positive change" (p. 20).

The idea was developed in two phases, preparation and execution. The preparation phase of the repositioning strategy required the colleges to identify target populations to be impacted and to inventory the colleges' assets available to accomplish the job (Wynne, 1993, p. 20). Targets were identified as decision making groups that could make a difference in the public support and financial operations of the colleges. According to Wynne (1993) "Through survey results they concluded the repositioning targets to be parents, community leaders, manufacturers, and elected officials" (p. 20).

The groups that the Mississippi Community College Association identified as repositioning target groups correlate directly with strategic planning target groups.

Wynne (1993) states:

> Parents are selected because of their influence in choosing the college their children will attend, and children are customers and funding multipliers. Since community colleges are local and depend on local funding, it was no accident

> that local community leaders are a prime target. Likewise, the manufacturer is the colleges' customer, and the elected official is the person who appropriates state dollars for the colleges. (p. 20)

According to Wynne (1993) the execution or action phase of the process consisted of a statewide media blitz comparing overall four year student statistics to the states' community college student statistics (p. 22). Designed to spotlight exclusively the community colleges in the state, the blitz, called The Hour of Educational Accountability, changed forever the higher educational leadership structure of Mississippi. The community colleges became an equal partner in the educational planning process. Wynne (1993) states that

> repositioning is a strategy that businesses have successfully employed since the first trade was made. Its application in American society in educational, economic, and social turmoil is timely, appropriate, and potentially revolutionary for Americas' community colleges. (p. 23)

Whether an institution chooses a repositioning model as presented by Wynne (1993) or a strategic planning model as presented by Barr (1993), Sheldon (1994), and Keller (1983), there are similarities and differences which are consistent. Donsky (1992) summarizes the planning process into three integrated steps which he identifies as strategic planning, operational planning, and effectiveness measures.

According to Donsky (1992) strategic planning attempts to systematically assess the institutional relationship with the external environment, relating to internal strengths and weaknesses to external threats and opportunities (p. 2). He explains that operational planning is done at the organizational

unit level and "attempts to channel institutional activities in the areas of finance, facilities, enrollment, human services, and the organization in general" (Donsky, 1992 p. 2). Effectiveness measures, as identified by Donsky (1992) measure how well a college "performs its mission relative to the needs of its constituency, making effectiveness measures unique to each institution" (p. 2). Donsky (1992) holds that "strategic planning and operational planning are not alternatives but, rather can be viewed as part of one institutional-wide approach linked to the production of measures of institutional effectiveness" (p. 2). Donsky (1992) goes on to state that when these three processes are pursued separately, "the efforts can often be less meaningful, less effective and often redundant" (p. 2).

There are six characteristics identified in the Donsky model:

1. The institutional mission statement is the initiating point;
2. Both strategic and operational planning are seen as separate but related processes, linked through the mission statement;
3. Organizational units perform both types of planning as they generate strategic as well as operational activities;
4. Strategic planning generates a strategic plan as well as an annual plan which will result in activities with effectiveness measures;

5. Operational planning is reflected in statements of purpose by institutional areas which lead to day-to-day functions that result in operational activities with effectiveness measures; and
6. Both strategic effectiveness measures as well as operational effectiveness measures become incorporated into one institution-wide effectiveness/action document. (Donsky, 1992, p. 10)

The primary difference between strategic and operational planning is the unit of analysis. For strategic planning, the unit of analysis is the entire institution. For operational planning, the units of analysis are the sub-units, departments, divisions, and other subdivisions making up the institution.

Lorenzo and LeCroy (1994) introduce the idea of fundamental change and Barr (1993) describes the concepts explaining a paradigm shift for colleges. Both of these ideas are significant in the planning process. Each indicate the necessity of change and if an institution is to institute effective change, planning is imminent.

Since community colleges must deal with the external environment, it is necessary to assess the colleges' current standing with the external constituency. This process is called the environmental scan. The idea of building community (AACC, 1993) and innovative learning approaches (Piland, 1995) represent internal activities to meet external needs.

Although the strategic planning document is essential, it is meaningless if not embraced by all involved. Sheldon (1994)

states that the plan itself is secondary to the change in the quality of thinking as a result of the process (p. 6). The process of planning must include the community, all constituencies, and input and feedback from all internal and external stakeholders.

Determining Planning Strategies

McClenney, LeCroy, and LeCroy (1991) in Building Communities Through Strategic Planning: A Guidebook for Community Colleges, state that "it is important for the strategic planning process to foster partnerships between the college and the community" (p. 2). They state further that

> the goal of strategic planning is not to produce plans, the process is more a series of critical decisions that cumulatively shape the future of the college. The planning process is seen as continuous rather than periodic, flexible rather than rigid, dynamic rather than static, and intuitive as well as rational. Effective strategic planning is at best, a way of constantly positioning the institution in relation to its external environment, a way of approaching the overall leadership, direction setting, and policy-making functions of the future-oriented community college. (p. 2)

Many authors of strategic planning processes, Rothwell and Kazanas (1994), Dlugosh (1993), Duck (1993), and McClenney, LeCroy, and LeCroy (1991) share that certain conditions must exist for a successful strategic planning effort. The consensus in the pre-planning phases include:

1. Leadership commitment. There must be a strong visible and audible commitment by top level college leaders to the development and implementation of the planning process,

2. Understanding the mission. The cornerstone for effective planning is a clear understanding of the institutional mission,
3. Broad participation by constituent groups. All stakeholders and constituencies must be given the opportunity for involvement in the process,
4. Clarification and commitment to the vision. An essential component of any vision includes dynamic relationships between the college and the community,
5. Integration with the mainstream of institutional decision making. The planning process must be integrated with all other essential, mainstream functions of the college. These functions include enrollment management, finances, personnel, and overall operational functions,
6. Establishment of clear priorities. The planning process must include the identification of explicit priorities at each level of the institution,
7. Simplicity. The process must be comprehensive concise, and simple, and
8. Action oriented. As Peter Drucker asserts, 'The best plan is only a plan--that is, good intentions--unless it degenerates to work'. (McClenney et al., 1991, p. 3)

McClenney et al. (1991) state that the first phase of the process is what the identify as Planning to Plan (p. 5). This stage includes the development of a planning council to evaluate current processes, define procedures, timelines, and

responsibilities, provide for broad-based involvement, and collect and share available information. Once the community leaders, the college administrators, the Board of Trustees, the staff and faculty have accepted the need for change at their college, there needs to be a process to deal with the change. The stakeholders and constituencies must also promote and support a change effort for the institution. Barr (1993) describes a paradigm shift for colleges, Lorenzo and LeCroy (1994) present the idea of fundamental change and Einstein states that we cannot attack problem resolution at the same level of thinking that created them. The primary ingredient in the planning process, is the process itself. Sheldon (1994) holds that the strategic plan itself is secondary to the change in the quality of thinking as a result of the process.

The process for change agentry must be methodical, purposeful, and meaningful, not simply an exercise in document development. Dlugosh (1993) defines strategic planning as "a dynamic process used to position the college to fulfill its mission in a rapidly changing environment" (p. 7). Dlugosh (1993) contends that an institution must be able to provide five characteristics for the planning process. According to Dlugosh (1993) an institution must be able to:

1. Embrace and articulate the underlying beliefs and values that provide a foundation for education,
2. Identify the goals and purposes of education,
3. Collect and assess the evidence that leads to change,

4. Provide for community involvement in educational change, and
5. Identify high priority objectives that will assist the school in meeting the needs of the students and the community. (p. 7)

These five characteristics are an essential foundation in the pre-planning process. Dlugosh (1993) states that there are nine stages in an effective strategic planning process. The first stage is to appoint a strategic planning team (p. 8). This strategic planning team should consist of community, industry, student and school leaders. Duck (1993) identifies appointment of a team as the Transition Management Team (TMT) (p. 117). The TMT has eight primary responsibilities, which include:

1. Establish the context for change and provide guidance. The CEO sets the vision and the TMT makes sure that everyone understands the vision and the organizations' position on why and how the change will occur,
2. Stimulate conversation. Most change efforts are fundamentally about moving information across old and obsolete boundaries. Early and ample conversation and communication are crucial,
3. Provide appropriate resources. The TMT has two types of significant power: The power to allocate resources to make things happen and the power to kill projects that are no longer needed. The TMT must allocate people and resources to accomplish the objectives of the planning process,

4. Coordinate and align projects. As the organizations' activities shift into fast-paced change programs, task forces, teams, and projects proliferate. One result could be a great deal of confusion. To prevent such confusion and duplication of activities, the TMT is charged with activity and project coordination,
5. Ensure congruence of messages, activities, policies, and behaviors. The TMT's job is to be on the lookout for inconsistencies that undermine the credibility of the change effort. The message, the measures, the behaviors, and the rewards must match,
6. Provide opportunities for joint creation. It is essential to ensure that all employees, whether managers, directors, staff or faculty, have the information they need to make correct decisions and take appropriate actions. Input from all levels is not only important, but necessary,
7. Anticipate, identify, and address people problems. People issues are at the heart of change. Cross-functional teams in communications and human resources represent an opportunity for sharing information both horizontally and vertically, and
8. Prepare the critical mass. Given the complexity of scale-up from idea through implementation, it is important to design the resources and strategies necessary for replication and learning transfer. If

staff don't learn anything, no change will occur. (Duck, 1993, pp. 117-118)

The Transition Management Team (TMT) is responsible not only for the logistics of any change effort, but also for the leadership roles for the change process. Hollander and Offerman (1993) state that leadership "is a system of relationships with constraints as well as opportunities" (p. 62). Kotter (1990) correlates a concept of leadership in that "the primary function of leadership is change" (p. 35). As Duck (1993) indicates that the eight responsibilities of the TMT are not necessarily plan producing and Kotter (1990) states that "the direction setting aspect of leadership does not produce plans, it creates visions and strategies" (p. 36). Cronin (1993) states that "leaders are the people who infuse vision into the organization" (p. 11). The TMT is responsible for communicating the vision and guiding the process in the right direction.

The second stage of the strategic process identified by Dlugosh (1993) is the collection of evidence to support change (p. 8). It is essential for the Transition Management Team (TMT) to begin with an analysis of current conditions, status, and perception of the system. Dlugosh (1993) stipulates that evidence is the key word as the team must separate evidence from emotion.

Rothwell and Kazanas (1994) correlate with Dlugosh (1993) and the evidence collection with what they term an environmental scan (p. 114). The purpose of the environmental scan is to integrate external analyses to determine organizational

effectiveness. It is a process to determine the organizational threats, weaknesses, strengths, and opportunities from the external environment. External areas for a scan would include how the college is perceived by the community, industry, and other constituencies for the institution. The environmental scan relates to Katz and Kahn (1978) and their idea of open systems as it is a process wherein the institution does an extensive internal and external analysis to determine compatibility for coexistence and interdependence (p. 20).

According to Rothwell and Kazanas (1994) the environmental scan can have either a passive strategy or an active strategy (p. 113). The passive strategy for an environmental scan is where the institution takes a passive role in the community and the environment, waits for things to happen, and then reacts to the environment. The passive strategy is considered to be reactive as they react to environmental occurrences. The active strategy on the other hand, is when the institution is aware-of and in-touch with the environment. "The active scanning strategy will identify and beat environmental threats before they become a problem" (Rothwell & Kazanas, 1994, p. 113).

Rothwell and Kazanas (1994) identify six steps in the environmental scanning process (p. 118):

1. Clarify sectors of the environment to identify players and stakeholders,
2. Establish time frames for scanning activities,
3. Examine environmental sectors for change within the established time frames,

4. Identify effects of environmental change on the general public, external stakeholders, groups within the organization, and individuals,
5. Identify learning needs of people and groups, and
6. Reassess the learning needs by market segment.

The different environmental sectors identified by Rothwell and Kazanas (1994) include economic sector, political, social, technological, geographic, and the market sectors. All of these sectors will have an impact on the college (pp. 121-126). The environmental scan should determine the impact of each sector on the college. McClenney et al. (1991) share that pertinent internal and external considerations must be identified. They suggest that methods of retrieving this information is surveys, interviews, focus groups, retreats, forums, and any other method for internal and external regional scanning (p. 23). The third stage of the Dlugosh (1993) process is the examination of strengths and limitations (p. 8). "A strength is a condition that enhances the colleges' ability to perform and a limitation is the type of condition that inhibits the desired level of performance" (Dlugosh, 1993, p. 8). The environmental scan will produce significant input as to the external strengths, weaknesses, threats, and opportunities. The institution must also do an internal assessment of policies, procedures, and operations in order to have a valid examination of limitations and strengths.

The fourth Dlugosh (1993) stage in the planning process is the development of a mission statement (p. 8). Armed with

information about national and local conditions, there must be a focus on the beliefs that form the foundation for education. Dlugosh (1993) holds that "the mission statement should be concise and should define the purpose and function of the college" (p. 8). McClenney et al. (1991) state that since the mission statement in a vitally important matter, it is important to pose several questions relative to the college mission (p. 13):

1. Is our college a true community of learning?
    a. Do faculty and staff have a strong identification with the college?,
    b. Do classroom experiences create community of learning?,
    c. Are part-time faculty and students tied to the college life?,
2. Can our college demonstrate a commitment to excellence in teaching?
    a. Can we deal with underprepared students?,
    b. Are non-traditional student issues addressed?,
    c. As faculty evaluation tied to student success?,
3. Has our college clearly articulated its priorities?
    a. Have program priorities been established?,
    b. Are budget decisions tied to institutional priorities?,
    c. Are programs terminated as well as added?,
4. Is our college bound by unrealistic systems?
    a. Are night classes the same quality as day classes?,

b. Are non-traditional/part-time students considered when developing program and course schedules?,

c. Do we create an environment where students are likely to return as life long learners?, and

5. Does our college adequately support and enhance our two core missions, transfer and vocational education? Is one division a priority over the other?

Other very important issues for mission development according to McClenney et al. (1991) are "articulation efforts with high schools and universities and collaborative efforts with business and industry" (p. 16).

Also included in the mission and the building of community is the "articulation of shared values" (McClenney et al., 1991, p. 17). Since the building of community is as much climate development as it is regional growth, "the interest encompasses a concern for the whole, for integration and collaboration, for openness and integrity, and for inclusiveness and self renewal" (McClenney et al., 1991, p. 17). Basically, this point of the process is to determine what college and community members want the college to be and how constituents are to be treated in the process.

The fifth stage in the planning process identified by Dlugosh (1993) is to identify objectives or intended outcomes (p. 9). "What objectives need to be established to carry out the mission? There need to be no more than three to five high priority objectives" (p. 9). According to Dlugosh (1993) the objectives need to be clear and concise. "Even though they are

intended to be broad and general, there must be no room for doubt as to what is to be accomplished" (p. 9). Dlugosh (1993) also suggests a time frame be established for each objective (p. 9).

Dlugosh (1993) states that the sixth stage in the strategic planning process is to discuss best hopes and worst fears (p. 9). What happens if an objective is or is not met? Identifying hopes and fears of planning outcomes helps team members visualize different scenarios that could develop from action plans. This exercise serves to identify barriers to implementation and helps overcome anxiety about change.

Stage seven in the planning process introduced by Dlugosh (1993) is to write an implementation plan (p. 9). Each objective must be accompanied by a detailed plan that outlines every activity and task that will be necessary to successfully implement the objective.

McClenney et al. (1991) state that it is essential to "identify strategic issues" (p. 34). "The sorting of information, perceptions, values, and aspirations that occurs during Transition Management Team (TMT) discussions create discrepancies between present status and desired state" (McClenney et al., 1991, p. 34). It is necessary for the TMT to gain consensus on strategic issues in the course of plan development.

One technique that has been useful in a wide variety of community college settings to facilitate the work of summarizing information, refining the definition of critical issues, and postulating strategic responses is the development of position

papers on selected topics. McClenney et al. (1991) contend that position papers should focus on specific issues such as minority recruitment and retention or community economic development. Position papers should be short, succinct, and substantive, clearly distinguishing between fact and opinion. McClenney et al. (1991) hold that position papers should include:

1. A brief summary of salient information pertaining to the assigned topic, describing what-is,
2. A brief statement of vision or aspiration, describing what-should-be,
3. A brief statement of planning assumptions, describing perceived future conditions or trends that are likely to have a significant impact on college and community development in the area of concern,
4. Delineation of strategic issues for the college and the community, as related to the assigned topic, and
5. Formulation of recommended strategies for addressing issues, implementing values, and reducing the discrepancy between what-is and what-should-be. (p. 43)

The TMT reviews the position papers and provides time for constituents to respond to the issues and topics presented in the papers. McClenney et al. (1991) share the belief that a critical point in the planning process is a TMT workshop wherein the group achieves consensus on the list of strategic issues and direction for the college and the community (p. 34).

Dlugosh (1993) goes further to state that it is necessary to describe each activity required to accomplish each stated

objective (p. 9). If ten activities are needed for implementation of a given objective, each activity must be broken down into a series of smaller, detailed tasks. The tasks are the smallest units of the plan.

According to Dlugosh (1993, p. 9), it is necessary to identify the resources that will be needed to implement each objective: how much time and money, how many people, and how much material and equipment are needed to accomplish and implement each objective? It is at this phase of the process where strategic planning must be directly tied to budgets. The best laid plans can be rendered useless if budgetary resources are needed and not allocated.

The eighth phase of the Dlugosh (1993) model is the implementation of the plan (p. 9). Once objectives have been identified and the activities and tasks have been described, it is necessary to assign the duties and activities to specific people for implementation. It is important for the people responsible for each area to understand that his/her most important function is to make the stated objective become reality. The stated objective is important and the activities and tasks that have been identified provide a suggested format to realize the objectives.

McClenney et al. (1991) state that once the important strategic issues have been identified, the next step in the process is to specify the desirable approaches for dealing with those issues (p. 45). McClenney et al. (1991) share the belief that

> the final stage should be the TMT's endorsement of a focused set of strategic recommendations. To focus on the document as the most important outcome of the process would be misleading. The plan should best be described as a set of proposed directions or decisions that are tied both to the mission of the college and to a shared vision for the future of the institution and the community. (p. 45)

McClenney et al. (1991) suggest that the Transition Management Team (TMT) should reflect on the following to formulate the strategic recommendations:

1. The strategies should reflect on the value placed on community building,
2. Strategy statements should be action-oriented but should not stipulate details of activities or programs,
3. The strategic plan should set forth collaborative and reciprocal endeavors of the college and the community, and
4. Strategic recommendations should identify both the desired action and where the responsibility lies for each activity. (p. 45)

The ninth and final stage in the Dlugosh (1993) planning model is the institutionalization of the process (p. 9). This is the phase of the process where all stakeholders and constituencies are involved in the attainment of the objectives of the plan itself. The Transition Management Team (TMT), which is responsible for logistics and communication, should issue progress reports at least quarterly. Communication and progress reports should be as often as possible to communicate significant information. The reports may need to be monthly. As long as accurate and constructive information is being communicated to

all stakeholders and constituencies the process will be understood.

McClenney et al. (1991) hold that "the critical linkages between strategic planning and operational planning may be promoted through the establishment of planning assumptions, planning guidelines and priorities for action" (p. 51). "The development of these guiding documents for use across the institution promotes the translation of strategic policy into daily practice" (McClenney et al., 1991, p. 51).

Dlugosh (1993) suggests that another worthwhile activity is to schedule an annual review of the process with each planning team (p. 9). The TMT and each team should assess each team's performance relative to the accomplishment and evaluation of each stated objective and established outcomes. Leas and Lillibridge (1993) state that this phase of the process could be accomplished through a focused retreat (p. 8). This retreat is a process wherein the objectives, activities, and tasks of the various teams are evaluated and as old objectives are accomplished, new ones are developed.

Any planning process must include a method and procedure for evaluation. Although the planning process is important and the implementation of the plan essential, how will the team determine if the plan and process are effective? Brinkerhoff (1988) suggests a way to evaluate the process, not the overall outcomes. If the process is effective, the outcomes should be successful. Brinkerhoff (1988) proposes a six stage evaluation to evaluate the process of planning, which includes:

1. Evaluate needs and goals. The TMT and all other teams must evaluate what program is best for the change effort,
2. Evaluate the design. This exercise determines if the actual design of the process is effective or if the design needs to be revised,
3. Evaluate the operation. The basic questions at this phase are How is it going and How is the implementation of the effort progressing?,
4. Evaluate learning. Since the planning process includes a significant element in learning, did stakeholders and constituents learn what was intended about planning, team work, the objectives and the process in a systems framework?,
5. Endurance of learning. How has what was learned being transferred to the job site? Not only is it important for stakeholders and constituents to learn, they must apply that learning, and
6. Evaluate pay-off. This is a comparison of what was gained and what did it cost? The plan may well have accomplished all that was intended, but was the cost in dollars, personnel, and change worth it? (p. 26)

McClenney et al. (1991) comment that the evaluation of the plan is a chance to provide significant input as to how the plan is progressing. "It is suggested to develop sets of questions and/or statements, and their actual impact" (p. 54). These questions or statements need to focus on the process and how

effective the process has been. The evaluation process provides input for revision, if revision is necessary.

There is much consistency among researchers and strategic planning practitioners that there are certain elements which are crucial to any strategic plan. There must be a clear mission and vision as determined by the leadership of the college and embraced by all college constituents.

When determining strategic direction and planning strategies it is essential to incorporate the external environment and the impact the college and environment have on each other. Planning strategies must include internal and external assessments of the institution. Internal assessments which includes operational activities and external environmental scanning are incorporated into strategic planning activities.

All strategic planning processes must be accepted and embraced by stakeholders and constituents. There must be an ownership of the plans by all involved parties. Evaluation of strategic planning allows for evaluation of the process more so than the plan itself. The evaluation process should provide a realistic view of where the college was, where the college is now, and provides revision in the plan to visualize where the college wants to be.

Summary

The basic concept of strategic planning is to address change in the institution and the environment in which the institution functions. When an institution decides to develop a strategic plan, they have embraced the necessity for change. This change

encompasses the internal operation of the institution within the external environment. There are four broad elements of the strategic planning process. First, the environmental scan is necessary to identify trends or potential changes in the external environment and their implications. Second is the institutional assessment which is designed to clarify institutional strengths, weaknesses, problems, and capabilities. The third element is a values assessment. This assessment is a means to consider values, aspirations, and ideals of the various constituencies and the larger public. The fourth broad element of strategic planning is the creation of the actual plan which is to devise a strategic design and direction for the institution. The assumptions upon which decisions are made must include political, economic, and policy issues which affect the institution and its operation.

There is much support for the concept of community colleges operating and functioning as open systems. Since there is a mutual dependence for the institution and the surrounding environment, the systems model best exemplifies how the entities mutually co-exist.

An institution that accepts the challenge for a strategic plan has accepted the need for change. Change is conflict and for most people, change is avoided. There are six common themes formed from any change theory (Kirkpatrick, 1985, p. 35). Leaders must understand and accept these themes, which include:

1. Understand that people are affected by change,
2. Don't force change,

3. Effective communication is essential,
4. Involve those affected by the change in the planning and decision making process,
5. It takes time for change to be accepted, and
6. Strategies for deciding on changes and getting them implemented are needed.

Three key ingredients leaders need to deal with change in an institution are empathy, communication, and participation. Since organizational change deals with organizational values, one aspect of the organization that is affected is the organizational culture. The culture may need to be changed but the important thing is for leaders to be cognizant that with participation, empathy, and communication, they can re-shape the institutional culture.

Strategic planning includes what Bertado (1990) terms visioning. Bertado (1990) inquires of visioning, "is the strategic vision able to demonstrate a clear intent, capable of articulation and is it consonant with developing the environment" (p. 23)? This inquiry of the vision must be incorporated into the planning process by the leadership guiding the process.

The basic tenet of any change theory is exemplified in the quote by Albert Einstein when he stated "the significant problems we face cannot be solved at the same level of thinking we were at when we created them" (Barr, 1993, p. 2). When developing the strategies to address change, there needs to be a shift in the level of thinking which must be a significant part of the process.

Keller (1983) suggests that strategic planning includes the idea that leaders are active in the future of the college, leaders are interested in focusing on changing environmental impact on the college, and that strategic planning concentrates on decisions, not plans (pp. 143-151). Keller (1983) also point out that strategic planning is not a blueprint, a compilation of departmental plans, a form of surrender to the market conditions, and planning is not a way of eliminating risk (pp. 140-142).

Any planning strategy must include several important phases, The first phase of the process must the appointment of a team to guide the logistics and information flow of the change strategy. There needs to be an institutional assessment and an environmental scan so the college can determine internal operations and external standing in the environment. One significant step in the planning process is to develop a mission statement. The college should most likely not use the old mission statement. Getting back to Einstein, "we need to attack problem resolution from a different level of thinking that created them" (Barr, 1993, p. 2). The team should develop a newer, more concise mission statement. The activities of the strategic plan should focus on accomplishment of the institutional mission. The plan must be written, revised, and implemented.

Any plan that is developed must include methods of evaluation. The team leadership and all other stakeholders responsible for any of the planning objectives need to develop a system where by the activities can be evaluated and assessed to

determine effectiveness. Brinkerhoff (1988) suggests that the evaluation process should include evaluating needs and goals, the design of the process, the operation, the learning process, and the pay-off of the plan.

The planning process is more important that the development of the actual plan. The process of strategic planning is more important than the planning document itself as the process of developing the strategic plan should created change in organizational and administrative thinking (Sheldon, 1994, p. 6).

Chapter 3

METHODOLOGIES AND PROCEDURES

Problem Solving Methodology

The research followed the development problem solving methodology which culminated in developing the strategies for transition for State Community College. The conceptual framework for the development problem solving methodology was based on information obtained from the literature search and attending core and specialization seminars with NOVA Southeastern University. It was augmented through practicum development, interviewing professionals and experts in the field of change and transition, and by reviewing transition/strategic plans of other colleges.

Procedures

Several procedures were implemented as part of this study. The procedures were categorized into three major activities: data gathering, plan development, and plan evaluation and revision. The data gathering activity was comprised of seven steps. The plan development phase included five steps and the plan evaluation and revision phase of the study included four procedural steps.

Data Gathering

The first step of this study was a comprehensive review of the literature. The review related to such topics as strategic planning, college transition activities, and change theory. Other literature reviewed focused on leadership and change,

governance, and systems theory. Also, several colleges were contacted relative to their planning, strategy development, and their planning processes.

The colleges that were contacted for review of strategic plans were contacted through recommendations of other people. The dean of instruction at State Community College suggested contacting Malcolm X College in Chicago, IL as they had recently been through a transition process in 1993. The transition for Malcolm X College was the addition of several academic programs which required a revision in the mission and purpose of the college. The president and dean of Malcolm X College never returned any of the four telephone calls. Subsequently, Malcolm X College was not one of the colleges chosen for transition review.

When the dean of instruction at State Community College suggested the strategy development for transition to be used as the MARP, he indicated that the state of Arkansas had recently experienced statewide changes in their community college system. On October 2, 1995 the Arkansas Department of Higher Education was contacted about the transition of the community colleges in the state. At that time, Dr. John McKay was referred as the director of the community college transition issues. On October 3, 1995 Dr. McKay was contacted and the MARP process and the reason for contacting him were explained. Dr. McKay indicated the changes were statewide and were transitions for the Technical College System in Arkansas to become independent community

colleges. He stated that there was a shift in mission from being predominately technical colleges to becoming comprehensive community colleges. For the technical colleges, the primary change was the addition of an academic component to the existing technical curricula. Dr. McKay suggested that Ms. Tresa Isabel of Black River Technical College would be a valuable resource for transition information. Her experience is in research and development and she has assisted colleges in Texas and Arkansas with change and transition processes. On November 9, 1995 Ms. Isabel was contacted and the MARP process explained. She gave additional contact resources as Mr. Mark Johnson of Pulaski Technical College and Diane Tebbetts of Ozarka Technical College, both in Arkansas. Ms. Isabel also gave Texas resources referrals as Dr. Mike Metke of South Texas Community College and Dr. Ron Abrahams of Amarillo College.

Mr. Mark Johnson of Pulaski Technical College in North Little Rock, Arkansas was contacted on November 21, 1995. He was versed on the MARP process and the intention of this MARP to develop the strategies for the State Community College transition. Mr. Johnson sent a copy of a paper he presented at the Society for College and University Planning (SCUP) conference on July 7, 1995. Mr. Johnson also gave resources for contact as Owensboro Community College, Owensboro, KY; Lehigh County Community College, Schnecksville, PA; Metropolitan Campus of Cuyahoga Community College, Cleveland, OH; Mount Hood Community College, Gresham, OR; and Seminole Community College, Sanford,

FL. No contact was ever made with Owensboro Community College or Lehigh Community College. Cuyahoga Community College, Mount Hood Community College, and Seminole Community College were contacted and the MARP process was explained to their planning and research representatives. Each of the colleges sent copies of their strategic plans for review.

Diane Tebbetts of Ozarka Community College in Arkansas was contacted on November 29, 1995. She agreed to send a copy of their strategic plan and the process used to develop the plan. Dr. Ron Abrahams from Amarillo College in Texas and Dr. Mike Metke of South Texas Community College in Texas provided copies of their strategic plans and provided information about their respective planning processes and how they developed their plans.

The second procedural step in this study was the establishment of the Transition Management Team (TMT). This team was developed by the president, assistant to the president, and the dean of instruction of State Community College. The team consisted of the president, assistant to the president, dean of instruction, department chair for math/science, dean of administration, director of personnel at the college, department chair for English/humanities, assistant to the mayor of East St. Louis, IL, two local government agency representatives, two private industry employers in the East St. Louis area, and the MARP student.

Step three in this study was the identification of significant issues and areas of interest by the TMT. The TMT

identified issues which needed attention throughout the transition process.

Step four of this study was the development of transition teams to address the issues identified by the TMT. There were 18 teams established which were identified as Mission and Purpose, Administrative Auxiliary Services, Education Programs, Recruitment/Retention, Computer Software, Capital Development, Legislative, Student Outcomes/Assessment, College Policies/ Procedures, Institutional Advancement, Academic Support Services, Student Activities, Human Resources, Professional Development, Student Policies/Procedures, College Communications, and Buildings and Grounds.

Each of the 18 transition teams had a chairperson chosen and appointed by the Transition Management Team (TMT). Each chairperson was given a Team Agenda Sheet (APPENDIX A) which provided a guide for team activities, time lines, and intended outcomes.

The fifth procedural step included a review of the strategic plans from the previously identified colleges, which included Pulaski Technical College, AR; Ozarka Technical College, AR; Amarillo College, TX; South Texas Community College, TX; Cuyahoga Community College, OH; and Seminole Community College, FL. The sixth step was to interview the individuals who developed the strategic plans for the colleges who sent strategic plans for review. This procedure was accomplished by telephone

interviewing each individual relative to their planning processes.

The seventh step was the development of a formative committee to formulate a rough draft of the strategies for transition. The formative committee included the dean of instruction, dean of administration, assistant to the president, two business leaders from the State Community College District, and the MARP student. This committee reviewed the strategic plans from the other colleges and discussed and planning processes.

Plan Development

The formative committee met a total of three times. The first meeting was held on February 2, 1996 and the committee was given handouts dealing with trends, issues, strategies, and planning. The purpose of this committee was to identify trends and issues significant to the planning process for the transition plan for State Community College. The MARP student then prepared a rough draft of issues and trends which was presented at the second meeting of the formative committee on February 9, 1996. Discussion at the second meeting focused on the issues that the college transition plan should address and trends which will likely impact the college through the transition process. The third meeting of the formative committee, held on February 14, 1996, finalized the issues and trends most likely to impact the college during transition.

The summative committee met twice. The first meeting on February 15, 1996 was to explain the purpose and function of the committee and review the rough draft strategy plan based on the activities of the formative committee. The second meeting of the summative committee was held on February 20, 1996 which finalized the recommended issues, trends, and strategies for the development of the transition plan for State Community College.

Evaluation and Revision

The strategies, issues, and trends which culminated the formative and summative committees were intended to provide the authors of the State Community College transition plan assistance in the development of the actual plan. The evaluative committee included two businessmen from the college district, the college president, dean of instruction, and the two authors of the actual transition plan. The evaluative committee reviewed the strategies, issues, and trends and verified that the information presented in the outline for strategy development and the issues and trends will provide significant input for the development of the transition plan. Although no specific document was used to validate the plans integrity and usefulness, committee members and transition plan authors concurred that the strategies, issues, and trends identified would be of great benefit. They also concurred on the usefulness of the transition plan outline format.

Assumptions

There are several assumptions made about this study. First, it was assumed that the literature review was thorough and valid. Second, it was assumed that the study would be valid for the development of the transition plan for State Community College. Third, it was assumed that the institutions that provided information about strategic planning and transition planning was appropriate and representative. Fourth, it was assumed that the input gleaned from administrators who have previously experienced a strategic/transition planning process would serve as cornerstones for the development of the strategies for the transition plan for State Community College. The final assumption was that the strategies developed through this study would be embraced by all constituents and stakeholders as both valid and viable for the development of the transition plan for State Community College.

Limitations of the Study

Several important limitations are noted. First, the initial success of this transition process was influenced by political entities within the state. The legislature must allocate funds for the transition period, and if the legislature fails to allocate the necessary funds, the process will be much more challenging for the stakeholders participating in the transition.

Second, the transition plan was be designed to meet the specific needs of State Community College. Although the concepts, ideas, and procedures for the development of the plan

are subject to industry generalization, other institutions of higher education will most likely be unable to generalize this strategy.

The third limitation of this study focuses on the college districts acceptance of the changes that will result from this transition. The success of the implementation of the plan will be contingent upon the willingness of internal and external stakeholders to accept the changes that will be necessary for the college to implement the strategies for transition.

Chapter 4

RESULTS

Conceptual Framework

The major focus of this MARP was to develop the strategies for the transition of State Community College from a state agency to an independent community college. Data that relate to the research questions of this study are presented and analyzed in this chapter. The data were obtained from several sources: a review of the literature, a review of strategic and transition plans from colleges that have experienced a transition process, and interviews with practitioners who have participated in the transition/strategic planning process for their respective colleges. The information gathered from these sources are related to the specific research questions of the study; (a) What elements comprise a strategic plan and what should be included as a part of the strategic plan?, (b) What functions and activities need to be implemented to guide the strategic plan for transition?, (c) What people (hierarchial positions) should be included on transitions teams?, (d) What changes in operations and functions can staff and faculty expect and prepare for as a result of the transition?, and (e) What types of in service training activities should be implemented to inform staff and faculty as well as external stakeholder concerns addressing changes in college function during the transition period?

The following section will address the research questions. Each research question is paraphrased and underlined followed by

the literature support and the procedural steps implemented to answer each question.

Elements of a Strategic Plan

Riches and Parmenter (1991) hold that basic steps in the process must include, at minimum, team building, needs assessment, priority setting and program planning (p. 4). The Florida Commission on Education stated in 1993 that a strategic plan must both confront reality and identify challenges that cannot be avoided. The basic areas of address must include a distinct institutional mission, redirection of resources, commitment to articulation, and definition of mutual goals of the community and the college.

Baldridge and Okimi (1982) state that strategic "planning relies heavily on rapid assessment of the environment and on rapid decision making that deals with short-term and medium-term goals" (p. 16). Baldridge and Okimi (1982) go on to state that

> the central focus of strategic planning is developing a good fit between the organizations activities and the demands of the surrounding environments. Strategic planning looks at the big picture: the long range destiny of the institution, the competition between this organization and others, the market for organizational services, and the mix of internal resources to accomplish the organization's purpose. Strategic planning emphasizes flexibility and quick response to changes in the external environment. Its basic perspective is external--looking toward the environment around the organization--rather than internal--looking at the organization's structure. The goal of strategic planning is not so much producing plans as it is making critical decisions wisely. Effectiveness, not efficiency is the watchword for strategic planning. (p. 16)

The strategic plan must be long range and needs to be merely a guide. The road map of specifics must be both short-term and

medium-term with the ability to address detours and roadblocks with minimal impact and disruption.

The Pima, Arizona Community College District strategic guidelines hold that "planning emanates from the college mission. Strategic planning is created and re-created out of the colleges' fundamental relationship to its mission" (p. 5). The findings of the Pima Community College District guidelines indicate some basic characteristics of the planning process and components that should be incorporated into strategic plans:

1. College planning is ongoing and therefore has no real beginning or end,
2. College planning links together strategic and program planning with budgeting and resource development,
3. College planning is interactive between college and community. It is both bottom-up and top-down,
4. Both campus and district level planning address strategic and operational planning dimensions, and
5. The chancellor's [president's] cabinet is the central planning team which ties together campus and community initiatives and which links the planning process with the budgeting process. (p. 5)

When developing strategies for the college, Keller (1983) suggests that "the most important part of any strategy is the quality, daring, and sagacity of the strategy formulation" (p. 77). Keller (1983) continues by stating the importance of concentrating on good management. "A campus can take a giant

leap forward by doing nothing more than improving the administration of current operations" (p. 123).

Sheldon (1994) states that strategic planning is structured to "focus on resources that will be most effective to the colleges success in the integration of internal and external constituencies" (p. 6). The structured process for strategic planning consists of six specific steps. Sheldon (1994) identifies those steps as:

1. The clarification of the essential values of the college and the development of a mission statement,
2. The analysis of the colleges' strengths and weaknesses and external threats and opportunities,
3. The identification of key areas for attention and development of goods within those areas,
4. The development of specific operational plans to accomplish those goals,
5. The implementation of those plans, and
6. The evaluation of results, which leads further into plan development. (p. 6)

Donsky (1992) identifies the "initiating point of strategic planning to be a revitalization of the institutional mission statement" (p. 10). Pima Community College District planners identify the mission statement as the primary starting point of strategic planning. A common denominator for all interviews and plan reviews reflected the importance of integrating the mission statement into the strategic planning process.

Mr. Mark Johnson of Pulaski Community College in North Little Rock, Arkansas shared in an interview that there are several steps and elements to the planning process which must be considered. First is purpose. "The purpose of the planning process must be clear, visionary, concise, and significant." There must be a mission review. "The institutional mission is the anchor for strategic planning and must be considered with every step of the process." The third element is the articulation of shared values. "The articulation of what the college and community members want the college to be and how they want various constituents to be treated in the educational process is very important." The fourth element is the environmental and institutional scanning. "The external scan is identification of demographic trends, economic trends, political issues, and competition. Internal scanning includes enrollment trends, student characteristics, faculty characteristics, fiscal projections, and overall operations.

Mr. Johnson stated that after the scanning process, it is necessary to identify strategic issues. "If you have done a good analysis of external and internal environments, most of the strategic issues should flow from the analysis." Mark cautions that too many times, too many colleges take on too many issues too quickly. "You must determine methods of organizing, clustering, prioritizing, and focusing those identified issues."

Mr. Johnson stated that the sixth step in plan development is the formulation of the plan. "The identification of the

strategic issues constitutes one of the core ingredients of a strategic plan. The plan should include broad recommended strategies for responding to those issues." Other common elements of a strategic plan (per discussion with Mark Johnson) include a copy of the institutional mission statement, an institutional vision statement, a set of planning assumptions, and procedures and assignment of responsibilities for implementation and evaluation of the plan." The two final steps include Presentation of the Plan to the Board and Stakeholders and the Implementation of the Plan, which includes measures of evaluation and review.

The Lakeland Community College Strategic Plan 1993-1997 identifies the importance of the environmental scan and as a result of that scan, developing strategic priorities. This particular college identified four strategic priorities with no less than six goals and objectives specified toward the achievement of those strategic priorities.

Dr. Mike Metke of South Texas Community College in McAllen, Texas sent a copy of their strategic plan and shared some of the elements of the planning process in a telephone interview. The South Texas Community College strategic plan (1995-1999) started with a vision statement and the identification of five functional goals which stipulate objectives toward goal attainment. The plan then identifies the agency philosophy and mission statement. The strategic plan shares results of the internal assessment and

external scan and concludes with objectives and identified outcome measures and strategies with identified outcome measures.

Ozarka Community College in Melbourne, Arkansas presented three one year "Planning Yearbooks" from 1993-1994, 1994-1995, and 1995-1996. Each of the yearbooks identify ten significant areas they want to accomplish for that particular year. Diane Tebbetts of Ozarka College sent copies of the plans and the plans were discusses in a telephone interview. Each of the plans begins with a long term vision statement, mission statement and the identification of what they call focal points, which are commensurate to strategic issues. For each focal point they identify goals, a person responsible for those goals, and timelines by which the goals must be accomplished.

Rosemary Jones of Cuyahoga Community College in Cleveland, Ohio sent information on their planning process after a telephone interview. Cuyahoga College started their process with a mission statement, vision statement, and a strategic planning concept paper. They had a "planning to plan" period which built upon the experiences of the annual goal setting and budget development of the prior academic year. They identified strategic goals and timelines for completion. Ms. Jones was the author of a bi-weekly "Strategic Planning Process Status Report" which identified team involvement, progress toward goal attainment, individual team progress reports, and identified projections for upcoming timelines. Ms. Jones stated "This strategic planning process has been a unifying force for the college. The extra

commitment to communication and respect for the time and ideas from the participants has greatly contributed to its success."

Dr. Ron Abrahams of Amarillo College in Amarillo, Texas contacted by telephone and the process of their pending transition and strategic planning process was discussed. He sent a copy of a position paper which he presented to the main campus of his college which identified several strategic issues of concern and how the goals and objectives of those strategic issues should be met. It was explained that the first step in a process such as this should include a mission statement and the planning effort should focus around that mission statement.

Functions and Activities for Transition

According to Rothwell and Kazanas (1994) there are five basic assumptions to strategic planning:

1. Strategy making begins with clarification of the organizational purpose,
2. Strategy making is based in part, an identification of organizational strengths and weaknesses,
3. Strategy making is based on examination of the future and the external environment,
4. Strategy making is about future implications of present decisions, not future decisions, and
5. Strategy making is a mental activity which requires holistic thinking. (p. 7)

Rothwell and Kazanas (1994) state that further activities of planning leaders must include the following:

1. Clarify purpose. What is the purpose of the organization? What should it be?,
2. Select goals and objective. What is the organization trying to achieve? How can achievement be measured?,
3. Identify current strengths and weaknesses. What is the organization doing well and not so well?,
4. Analyze future threats and opportunities. What opportunities or threats will the external environment pose in the future?,
5. Compare strengths/weaknesses to threats and/or opportunities. How can the organization take advantage of opportunities and avert threats, considering internal strengths and weaknesses?,
6. Decide on a long-term strategy. What should be the long-term direction (strategy) pursued by the organization so as to take advantage of opportunities and threats?,
7. Implement strategy. What changes need to be made inside the organization so its chosen strategy can be pursued with the greatest likelihood of success?, and
8. Evaluate strategy. How well do the decision makers think the strategy will work? How well is it working? How well has it worked? (pp. 3-4)

Dr. Elaine Greenwood with Seminole Community College in Sanford, Florida shared that strategic planning must begin with the establishment of committees and subcommittees for overall

institutional involvement in the process. The consensus from all interviews and reviews of strategic plans began with the establishment of a committee to oversee the operations, activities, and functions of any transitional/strategic planning process. Duck (1993) contends that

> one tool is to implement a Transition Management Team (TMT), a group of leaders who commit their time and energy to managing the change process. The key to this process is communication between leaders, CEO, and those responsible for implementing and carrying out the transition strategies. (p. 110)

A transition management team is not a steering committee that convenes periodically. The activities of the Transition Management Team (TMT) must include clarification of organizational purpose, development of goals and objectives, and identification of strengths and weaknesses. The TMT must be responsible for the evaluation of the transition plan and assessing the intended outcomes of the activities of all the transition teams.

Mr. Mark Johnson of Pulaski Community College in Arkansas indicated that some of the basic activities that must be completed by the college and by the Transition Management team "must include at a minimum of the environmental scan and a significant visioning process by key players in the process." Dr. Greenwood with Seminole Community College in Florida stated that some very important activities for the committees must include "a review of the mission and philosophy of the college, environmental scan, development of strategic goals, development of college wide performance measures, the development of the

strategic plan, and a tie-in of the plan with the budgeting process."

The establishment of the Transition Management Team (TMT) was developed by the president, assistant to the president, and the dean of instruction for State Community College. The team consisted of the president, assistant to the president, dean of instruction, department chair for math/science, dean of administration, director of personnel at the college, department chair for English/humanities, assistant to the mayor of East St. Louis, IL, two local government agency representatives, two private industry employers in the East St. Louis area, and the MARP student.

The Transition Management Team had developed a two phase process for their activities. Phase I was to develop a new mission and vision statement (APPENDIX B), decide on a new name for the new college (undisclosed until May 1996), develop a new organizational structure for the college (APPENDIX C), and identify the issues which need to be addressed by subsequent transition teams. The TMT began Phase I in October 1995 and held bi-weekly meetings to accomplish the Phase I goals by the deadline December 15, 1995, which was the end of the Fall semester.

Phase II of the TMT commenced on January 2, 1996 which was the first day back after the Christmas break. The primary purpose of Phase II of the TMT was to conduct hearings (or

committee reports) on the various transition team issues identified by the TMT in Phase I.

The TMT performed an initial institutional assessment and environmental scan to identify significant issues. There were 18 issues determined as a result of the initial scan and transition teams were established to address the issues identified by the Phase I activity of the TMT. The 18 issues (and subsequent teams) were identified as; Mission and Purpose, Administrative Auxiliary Services, Education Programs, Recruitment/Retention, Computer Software, Capital Development, Legislative, Student Outcomes/Assessment, College Policies/ Procedures, Institutional Advancement, Academic Support Services, Student Activities, Human Resources, Professional Development, Student Policies/Procedures, College Communications, and Buildings and Grounds.

Each of the 18 teams had a chairperson appointed by the TMT. Each chairperson was given a Team Agenda Sheet (APPENDIX A) which provided a guide for the team activities, timelines, and intended outcomes.

The first round of team presentations (hearings) began on January 11, 1996. The Transition Management Team (TMT) utilized an evaluation sheet (APPENDIX D) to evaluate each team presentation. After each presentation the team chairperson was provided a copy of the evaluation sheet completed by each member of the TMT which provided suggestions and comments for revision. Each team chairperson was also provided with a Second Reading

Team Presentation Sheet (APPENDIX E). This format provided a succinct, concise narrative of the committee report and findings to be presented at the second hearing, one week later. This format also provided consistent presentation and structure of the 18 team presentations.

After the second hearing of each team report additional comments and suggestions were provided to each team chairperson and the final report was prepared by the team. The final report from each transition team was utilized in the development of the final plan and recommendations to the Board of Trustees for State Community College.

Transition Management Team Membership

Cook (1993) contends that community solidarity may be threatened unless planners and leaders find ways to gently merge the teams together (p. 9). This must be a congruent effort for the college and the community. Duck (1993) states, "the key to the change effort is not attending to each piece [activity] in isolation; it's connecting and balancing all the pieces together" (p. 110). Duck (1993) further states that, "in managing change, the critical task is understanding how pieces balance off one another, how changing one element changes the rest, how sequencing and pace affect the whole structure" (p. 110). In order for this transition to be a successful effort, it is necessary for the members of the transition team to understand the elements which need to be addressed and to have

the desire and the authority to change those elements. These members should be external stakeholders within the community.

According to Duck (1993),

> The TMT oversees the large scale change effort; It makes sure that all the change initiatives fit together. It is made up of 8 to 12 highly talented leaders who commit all their time to making the transition a reality. The team members and what they are trying to accomplish must be accepted by the power structure of the organization. (p. 116)

The TMT is not simply a group of people who meet periodically to discuss transition issues. The TMT must be the heart and soul, the brain, and guiding force of the transition process. The people of the TMT must be dedicated to the college and must stand behind the mission of the transition process. The TMT is responsible for initiating and overseeing all facets of the transition process.

The most significant factor for the members of the TMT is their dedication to the process. The members of the transition leadership team must be committed to the process and devote full-time efforts to the transition. This process will not be accomplished easily nor successfully with members who are unable to be a transition team leader full-time. (K. Tenkhoff, personal communication, October 1, 1995) indicates that "When interested, you do it when you have time--when committed, you make time to get it done." The team leaders must be committed to the transition process, not just interested. The transition leadership teams were be established and appointed by the

president, with input from the deans and other community and civic leaders.

The individuals that were selected for the Transition Management Team were chosen for their personal integrity, position within the community, and their desire to revitalize the college. The president, assistant to the president, and dean of instruction were chosen because of their administrative positioning in the college and their knowledge of college operations. The dean of administration and the director of personnel were selected because of their articulate understanding of the planning process and their respective areas of college operation are crucial to college functioning.

The two department chairpersons were selected for the TMT since their two departments math/science and English/humanities, are the two largest on campus and represent a large cross section of faculty, staff, and student interests. The assistant to the mayor for East St. Louis, IL was selected to represent the political climate for the college in the community. The assistant to the mayor also introduced the local state representative to the team. The local state representative provided a legislative perception of the college at the first two meetings of the Transition Management Team. The information provided by the legislator provided valuable insights to the Legislative Team and how they should present their information, recommendations, and other input for legislative consideration. The two local government agencies were represented by the chief

deputy sheriff for the county, and the administrator for the County Health Department. Private industry was represented by a private health care provider and a retired educator who is a consultant to colleges and universities. The MARP student was the final member of the Transition Management Team.

All of these positions were chosen as they represent a diversified cross section of the internal and external communities for the college. The people within those positions were helpful with regard to their respective expertise in representing a select cross section of constituents for the college.

The selection of the formative committee was a result of working with the Transition Management Team. The members of the formative committee were the dean of instruction, assistant to the president, dean of administration, and the administrative assistant. The purpose of this committee was to develop the strategies for the transition plan for the college.

At the first meeting each member received an Institutional Self-Assessment Instrument (APPENDIX F) which is a document the American Association of Community and Junior Colleges (AACJC) recommends be used for institutional assessments. (Permission for use in the MARP was granted over the telephone and applies to all other AACJC documents).

After the self-assessment instrument was completed the formative committee reviewed the AACJC recommended Strategic Issues: Backdrop Questions (APPENDIX G). As a result of the

formative committee reviewing the backdrop questions and the institutional assessment, the MARP student prepared a rough draft of strategic issues identified as being important to the transition process for State Community College. At the second meeting of the formative committee the strategic issues were discussed and a strategy outline was prepared to assist and guide the development of the strategic plan. The formative committee concluded with a third meeting that finalized issues and trends for the college transition planning process and an outline for strategy development.

The summative committee consisted of the administrative assistant, department chair for math/science, dean of administration, department chair for English/humanities, and the president. The committee culminated the two meetings by finalizing a strategy statement, developing an outline and Format For the Strategic Plan Development (APPENDIX H).

The summative committee finalized and accepted the Strategic Trends and Issues (APPENDIX I) and prioritized those issues based on the following rationale.

District Trends and Issues

The colleges first priority is the relationship and commitment within the external environment. District needs and trends are of primary concern.

Curriculum Trends and Issues

The college must articulate the importance of district concerns and needs through curriculum and program development.

The curriculum should be developed and established to reflect needs, trends, and issues of the external environment, the district.

Student Trends

Once curricular issues have been established and programs developed, the college must focus on program strengths and recruit students to compliment those strengths. Although student needs tend to be less than a significant priority, for initial transition planning, students will be third priority in this schemata.

Funding Issues

Funding is important and is necessary to the college structure. Funding sources depend on student populations which depend on curricular strengths which are defined by district needs and desires.

Administrative Trends and Issues

Although administrative issues are important to a college they are not as important as other issues. The consensus belief of the summative committee was that the college could operate with administrative gaps and with administrative problems. The college could not operate with student problems, funding problems, or district problems.

The summative committee concluded by stating that all five of the strategic issues are important. The college cannot operate or prosper without great patience and attention paid to each issue. The prioritizing of these trends and issues will

need to be revised each year. Once the new college is established and district trends and issues are addressed, they may not be a priority for next year. There will, most likely, be a shift in prioritization and in issue identification each year.

Operational and Functional Changes for Staff

According to Katz and Kahn (1978) organizational change should focus on three questions; (a) What is the present state of the organization?, (b) What is the preferred state?, and (c) By what proposed means will the organization move from the present state to the preferred state (p. 655)?

The Transition Management Team performed many activities and functions which addressed these questions. The environmental scan and institutional assessment along with the activities of the 18 transition teams developed recommendations which are to focus on the present and preferred state of the college. The means proposed to move the college from the present state to the preferred state is the actual transition plan for the college. The transition plan will be developed with he assistance and guidance from the appendixes in this study.

Although specific transition team recommendations cannot be shared, some of the team findings can. The Educational Programs team identified several programs that are supporting several full-time faculty and full-time support staff for less than full time students. Without going into the specific recommendations of each transition team the basic underlying problem was that there was a mismanagement of staff and finances.

One of the primary changes for the new college is going to be funding. The current source of funding is totally through the state. The approximately $6.5 million annual budget supports less than 600 full-time students. Projections are that when the college becomes autonomous on July 1, 1996 that there will be no more than $4.5 to $5.0 million. Immediately there is a $1.5 to $2.0 million short fall in the budget.

Since these funding changes will be so dramatic, college personnel need to prepare for significant staffing changes. Other changes which cannot be anticipate but will need to be addressed in the transition plans include status of the staff and faculty unions, what positions will be abolished, and what staff and faculty will be laid-off or let-go?

Some of the initial, non-specific recommendations (only to be specified in the final transition plan) include potential staff reductions from 150 staff and faculty to 60 staff and faculty, duties and functions of staff members combining, sharing of support staff. Further discussion from committees and teams has entertained having the definition of full-time faculty credit hour load increased.

Although these issues are important for any transition plan, the scope of this study with regard to these issues was intended to have recommendations brought forth from subsequent teams. This MARP is not intended to answer all of the personnel, financial, or human resource questions raised herein. It is

intended only to present them as being significant to the new college and must be addressed by the pending transition plan.

In Service Training Activities

The activities which will be incorporated into the implementation of the strategies for college transition will include organizational development, employee development, and nonemployee development, among other activities.

McLangan (1989) defines organizational development as

> a long term change effort directed to either an entire organization or some part of it, using techniques from the applied behavioral sciences. It focuses on assuring healthy inter-and-intra-unit relationships and helping groups initiate and manage change. (p. 7)

Rothwell and Kazanas (1994) define organizational development as "fostering long term growth of the organization and the people in it incorporating purposeful teamwork activities toward organizational betterment" (p. 236). Organizational development activities will be implemented to organize and to manage the transition and organizational change.

Organizational activities will be implemented to foster organizational change. Other activities include employee development. Rothwell and Kazanas (1994) state that "employee development is an extension of externally-oriented instruction, because it helps employees of an organization adapt to changes taking place externally" (p. 302). Employee development is exemplified as internal activities toward growth and change which are based on externally motivated changes. Rothwell and Kazanas (1994) state that "examples of employee development include

formal and informal mentoring programs, job rotation, conferences, field trips, behavior modeling, and think-tank experiences" (p. 306). These and other activities will be implemented to meet the employee development needs of both the out-going college and the new college.

The human resource development function has traditionally focused on meeting the learning needs inside the organization. Rothwell and Kazanas (1994) hold that

> a strategic orientation to human resource development implies that human resource development practitioners--as well as managers and employees--bear a responsibility to look outside their firms, not just inside for learning needs. (p. 259)

Nonemployee development is not public relations. Public relations deals with more basic informational material. The primary components of nonemployee development include general public or external stakeholders and formalized pieces of instruction, including goals, objectives and intended outcomes.

The human resource function of the college will utilize these three facets of human resource development to address the organizational development, employee development and nonemployee development needs of transition from the old college to the new college. The human resource activities of this transition plan will be one of the most important functions of the transition. There will be negative impact on both internal and external entities of the college. The human resource team will be challenged both to minimize negative impact and to focus on the positive changes of the transition toward a positively changed

college. The development of the strategic plan must include human resource issues.

One activity that has been accomplished is the hiring of a communications/public relations person for the college. This person is responsible for distribution of internal communication and the timely and strategic use of local external media.

Some of the other internal activities have include weekly "brown-bag" lunches. These have been informal and have allowed various teams to meet and share information. There have been more structured and more formalized staff in-service meetings which have been designed to be one way communications from the president, assistant to the president, or department chairperson. These are more informative and "for-your-information" as to committee/team status reports (not findings or recommendations).

One consistency throughout the literature review, strategic plan review and personal interviews, has been the control of information. Information and communication must be accurate and ample.

It is outside the boundaries of this MARP to predict the necessary in-service and the information sharing activities for the new college in the transition period. The intention of this project is to identify possible alternatives for in-service activities utilizing employee, non-employee, and organizational development. The transition plan authors must identify the activities they plan to use and develop timelines for getting the activities accomplished. The transition plan must address what

activities will be presented, when they will be presented, and who will present them. As the deadline draws near for the presentation of the actual transition plan, the authors of the plan must address in-service and information sharing activities.

Chapter 5

DISCUSSION, CONCLUSIONS, IMPLICATIONS AND RECOMMENDATIONS

Discussion

The purpose of this project was to develop the strategies for the transition of State Community College from a state agency to an independent community college. The questions which guided the study include the following: (a) What elements comprise a strategic plan and what should be included as a part of the strategic plan?, (b) What functions and activities need to be implemented to guide the strategic plan for transition?, (c) What people (hierarchial positions) should be included on transition teams?, (d) What changes in operations and functions can staff and faculty expect and prepare for as a result of the transition?, and (e) What types of in service training activities should be implemented to inform staff and faculty as well as external stakeholder concerns addressing changes in college function during the transition period?

The elements that comprise a comprehensive strategic plan, the first research question, should include "the ability of the organization to respond to rapid assessment of the environment and on rapid decision making that deals with short term and medium term goals" (Baldridge & Okimi, 1982, p. 16). Keller (1983) suggests that "the most important part of any strategy is the quality and daring of strategy formulation" (p. 77). Sheldon (1994) holds the plan "should focus on resources that will be

most effective to the colleges success in the integration of internal and external constituencies" (p. 6).

Donsky (1992) identified one of the most important points of strategic planning as "the revitalization of the institutions mission statement" (p. 101). All of the interviews and most of the literature reviewed base the entire foundation of the strategic plan to a new, revitalized mission and vision statement.

Other important elements of strategy planning include identification of strategic issues. Mr. Mark Johnson of Pulaski Community College in North Little Rock, Arkansas state that consistently common elements of planning include a set of planning assumptions, procedures and assignment of responsibilities, and procedures for evaluation and assessment of the plan.

The activities and functions for transition, the second research question, focus on the establishment of a Transition Management Team (TMT). Duck (1993) states that "a TMT is a group of leaders [internal and external] who commit their time and energy to managing the change process. The key is communications" (p. 110). The TMT must then determine the strategic issues and assign committees or transition teams to focus on those issues. Timelines need to be established to hear team reports, revise the reports, and prepare team findings and reports for the final transition plan.

What people (positions) should be on the transition teams, the third research question, focuses on people who yield results. Assignment to the TMT and subsequent team membership should be based on a persons leadership ability, creativity, and acceptance of the need for change. Cook (1993) states that community solidarity may be threatened unless planners and leaders find ways to gently merge teams together (p. 9). The most significant factor for members of the TMT and subsequent transition teams is their dedication to the change process.

The fourth question focused on changes the staff can expect as a result of the transition process. Katz and Kahn (1978) state that organizational change must focus on three questions; (a) What is the present state of the organization?, (b) What is the preferred state?, and (c) By what proposed means will the organization move from preferred to desired state (p. 655)? If the recommendations of the transition teams are implemented, there will be significant change for the staff of the new college. Due to significant fiscal cut backs the staffing patterns of the new college may reflect as much as a fifty percent reduction in staff and faculty. The organizational structure of the new college reflects a reduction in administrative positions and an overall flattening of the hierarchy of the new college.

The in service training activities for the college, the fifth research question, will take on many forms. Rothwell and Kazanas (1994) and McLangan (1989) support organizational

development activities, employee development, and non-employee development activities to fulfill the training functions. The human resource function will be instrumental during this transition to deal not only with people losing jobs but also to train/re-train new and remaining staff.

Conclusions

The purpose of this study was to develop a strategy for the transition of State Community College from a state agency to an independent community college. This purpose was accomplished. As a result of this project, the two authors of the Transition Plan for State Community College have identified focal points, strategic issues, and priorities that before had not been considered.

The formulation of the Transition Management Team focused on the intended areas of identification of strategic issues, the establishment of subsequent transition teams, and the formulation of a new vision statement and mission statement for the college. The transition team hearings provided each of the subsequent trams a structured format and timelines for completion. Although there were pressing timelines, the experiences for the teams and the Transition Management Team have proven invaluable to "team-building" for staff.

The TMT was receptive to the revision of the original strategic issues which were presented as a result of the activities of the formative committee and the summative committee. These committees identified some of the same

strategic issues as the TMT but gave the ideas more breadth and depth for plan development. The two committees also provided not only a prioritization of the strategic issues, but also a rationale for the priority placement of each issue. These priorities and definitions of issues provided the Transition Plan authors a perspective never before considered. The findings of the formative and summative committees provided a strong foundation upon which the transition plan will be based. Another significant issue for the planners were some of the reviews of related literature which also gave the authors of the transition plan a theoretical backdrop for the establishment of the State Community College transition plan.

Implications

The development of the strategy for transition for State Community College has several implications for improving the educational process.

First, the development of this strategy has provided a foundation for the development of the transition plan for State Community College. The processes identified and procedures implemented through the course of this project have provided the developers of the transition plan a perspective of the process which had never before been considered. It opened a new dimension of consideration for the authors of the plan.

Second, the strategy developed as the culminating event of this study has provided a firm basis which will guide the actual transition process. The literature review and committee

participation throughout this process have been instrumental in providing a process perspective rather than focusing strictly on document development.

Third, the strategy developed as a result of this study will provide an ongoing reference for review, evaluation, and revision of the Transition Plan. It will be necessary to evaluate and prioritize strategic issues each year.

The fourth implication of this study is one that was not anticipated or even thought of at the beginning of the process, team building. The process of developing the strategy and transition plan has been one of the most significant activities for the college in team building, organizational climate, and individual morale, in spite of the nebulous and ambiguous employment status of every State Community College employee.

The fifth and final implication is that the format of strategy development, the outline of activities, and the overall process of this study may assist other organizations in strategic/transition planning. The recent development and eventual implementation of the State Community College transition plan may provide backdrop information on the importance of planning and the significance of the planning process.

Recommendations

The recommendations of this study are threefold: implementation and evaluation, further research, and for the dissemination of the findings.

Implementation and Evaluation

The recommendations for implementation will consist of all constituents and stakeholders of the State Community College District embracing the transition plan as being an important process for their college. If this is to happen, all stakeholders and constituents must be active participants in the strategic/transition planning process. Specific recommendations would include:

1. Establishment of a Planning Council. This council will serve in the same capacity as the transition Management Team, but will serve long term. Members will serve for one year and no more than two of the twelve members will be replaced each year. This council will allow for evaluating and updating planning strategies and will keep abreast of changing strategic issues.

2. Establishment of an Internal Audit Team. These internal audit teams will consist of no more than two people per team and will be responsible for the ongoing (monthly or quarterly) review of college procedures and practice and all facets of daily operation. These internal audit teams will review policies and practices for the respective department they are auditing and will be responsible to report findings to each department head relative to compliance/non-compliance on policy and procedure issues. This practice is designed to keep departments appraised of how they are functioning in relation to how they should function and operate. These audit teams will report (monthly or quarterly) to the planning council.

This process will be intended to ease the pressure of the five-year-scramble to get things done for state and regional accreditation and will assist in regular and ongoing progress of the planning cycle. This practice will also require specific rules, regulations, policies, and procedures which will also be scrutinized by the ongoing planning process.

3. It is recommended that all levels of the organization be included on the planning council, audit teams, and in the planning process in general. Too many times these activities are conducted by upper level administrators. The intention of these recommendations is to promote overall participation and ownership by all stakeholders and constituents of the college. These activities will provide ongoing planning outcomes which is an integral part of the strategic planning process.

Further Research

State Community College is one college proceeding with an unusual transition, from a state agency to an independent college. There needs to be an ongoing research of a network of college administrators and periodic literature searches to examine the status of colleges in similar situations. The continued research could develop valuable networks for assistance, mentoring, brainstorming, and support.

Continued research needs to be conducted on planning and the planning process. One of the strategic priorities for this strategy was meeting district needs. Simply because needs are met now does not mean they will continue to be met tomorrow. The

district needs, student needs, and overall functioning of the college need to be examined and revised regularly. This recommended procedure would encompass more than an environmental scan. An external scan and internal assessment would certainly constitute continued research. The important issue is to maintain the plateau of functioning that this planning process has created.

It is further recommended that research be conducted on the elements of the proposed strategy from this study. Although State Community College has accepted this strategy as a foundation to develop their transition plan, research needs to be continuous as to the validity and reliability of the proposed strategy format and outline.

Dissemination

The results of the study will be disseminated in several ways. Copies of the study and strategy will be made available to all administrators, stakeholders, and constituents of the State Community College District. Local legislators will receive copies of the findings and subsequent updates. Since the state legislature has been a significant stakeholder for this college for the past twenty seven years, they will be provided copies of current findings and results and subsequent audits and research findings. The study will also be submitted for inclusion to the ERIC data base.

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APPENDIXES

Appendix A

Transition Team Agenda Sheet

Each Transition Team is to follow the format of this outline for team meetings and to guide team activities toward the development of the final document to be presented to the Board of Trustees.

I. PURPOSE OF THE TRANSITION TEAM
To Identify specific issues to be addressed by the team

II. IDENTIFICATION OF TEAM LEADERSHIP
A. Chair/co-chair identified
B. Recorder identified
3. Regular meetings scheduled

III. STRATEGIES FOR STUDY
A. Literature Review of current practices/policies
B. Identify and visit state-of-the-art-institutions

IV. MINUTES OF MEETINGS
A. All minutes must be recorded, dated and submitted to President's Office within 24 hours of each meeting

V. BUDGET RECORDS
A. Keep records of supplies, travel, and other expenses
B. Compile costs needed to implement proposed plan

VI. PROJECTED TIMELINES
A. Draft plan must be submitted to Steering Committee by 12-31-95
B. Final recommendations must be submitted to Steering Committee by 2-5-96

VII. FINAL DOCUMENT
A. Final document must include:
1. Description of area addressed-identification of issues
2. Description of Assessment Strategies used
3. Proposed Model for the new college
4. Results of Needs Assessment (supplies/equipment, services/programs, personnel, budgets, logistics)
5. Summarize recommendations
6. List team members

Appendix B

Mission Statement and Vision Statement

Mission Statement

State Community College provides high quality educational programs and services to prepare constituents to become productive citizens. To this end, the College provides diverse, comprehensive educational programs that are geographically and financially accessible without regard to physical abilities, age, gender, ethnic origin, or religious affiliation.

Vision Statement

To develop a world-class workforce to compete in a global economy and to contribute to the holistic growth and development of the community.

Legal Services

President's Advisory Council

* **Dean - Business/Administrative Services**
  - Secretary

  * Director - Human Resources
    - Personnel Officer I

  * Director - Business Office
    - Cashier
    - Accounts Payable
    - Accountant I
    - Accountant II

  * Director - MIS
    - Computer Operator
    - Programmer/PC Support
    - Telecommunications

  * Physical Facilities Supervisor
    - Maintenance Repair/Public Safety Assistant (2)
    - Building Service/Public Safety Assistant (2)

  * Chief of Public Safety/Security
    - Police Officer

  * Director - Financial Aid
    - Office Assistant

  * Purchasing Officer

  * Auxiliary Services
    - Bookstore/Cafeteria

Appendix C

Organizational Structure

President
- Administrative Assistant
- Institutional Research

* **Dean - Academic Services**
  - Secretary

  * Director - Voc/Tech Programs
    - Industrial Tech
    - Allied Health
    - Workforce Preparation
    - Career Placement
      - SCCEP
      - Career Programs

  * Director - Instructional Resources
    - Library
    - Telecourses/LRC
    - Testing Center

  * Director - Adult Education
    - ABE/GED
    - Continuing Education
    - Literacy

  * Director - Correctional Education
    - Prison Program

  * Director - Division Chairpersons
    - Behavioral Sciences & Humanities
    - Math/Science & Business/ Data Processing

  * Internal Auditor

* **Dean - Institutional/Development Services**
  - Secretary

  * Director - Marketing & Communications
    - Public Relations
    - AV/WSCC-TV
    - Desktop Publishing

  * Grants & Foundations
    - Transfer Credit
    - SCC Gifts and Foundation
    - Scholarships
    - Alumni Association

  * Enrollment Manager
    - Admissions/Records
      - Admissions Asst.
    - Recruiter/Advisor (2)
    - "Drop-In" Day Care Center
    - Student Activities
    - Mentoring & College Survival Program
    - Tutoring Services

Revised 12/15/96

Appendix D

Draft Document Evaluation: First Committee Presentation

For the first reading of each of the Transition Teams, the following outline shall guide the questions and evaluation of committee document content.

TEAM NAME: _____

I. Description of area addressed-Identification of Issues

II. Are assessment strategies clearly documented? Yes__ No__

III. Proposed Model for the new college. Is model clearly presented?

IV. Results of Needs Assessment (personnel, budget, supplies, etc) presented clearly, succinctly, and does the needs assessment include measures of effectiveness?

V. Were recommendations summarized? Yes__ No__

VI. Were team members listed? Yes__ No__

VII. Other: Minutes of meetings Yes__ No__

Budget records Yes__ No__

Appendix E

Transition Team Presentation: Second Reading

After the first team presentation to the Transition Management Team, the transition team shall follow the recommendations from the interview evaluation sheet and shall revise the report and submit the second draft using the enclosed outline.

TEAM NAME: _____

I. **Brief Statement of Purpose**:

What is the team purpose, what role did/will this team play in the transition process? Why is this team important to the transition process?

II. **Describe Your Proposed Model**:

Briefly explain current practice and operations for your area of study. How will the findings of your committee/team revise current practice relative to your focus area?

Describe what your committee/team proposes as a resolution to the stated problem with current practice. Briefly explain how this proposed resolution will improve the educational and/or operational process for the new college.

Briefly explain why the college should embrace your team's proposed change. What implications will the proposed change have on the college?

III. **Provide Your Recommendations**:

Explain, list, or narrate your recommendations to the Transition Management Team and describe how these recommendations will impact the college. Impact statements shall include personnel, budgetary, and logistical considerations for the college.

Appendix F

Institutional Self-Assessment Instrument

This instrument is offered as a tool to assist colleges in assisting their current status as related to the recommendations in Building Communities: A Vision for a New Century. Definitions for the ratings are as follows.

Exemplary = Proven to be highly successful in meeting institutional goals. May be used as a national model.
Adequate = Meeting current needs, but must be improved and expanded upon.
Inadequate = Proven to be unsuccessful in meeting institutional goals. New directions and strategies are needed.

Our college is	Exemplary	Adequate	Inadequate
I. Student and Faculty Recommendations *Community Colleges should . . .*			
1. Vigorously reaffirm equality of opportunity as an essential goal.			
2. Develop an outreach plan for disadvantaged students, specifically including an early identification program with surrounding schools, focusing first on junior high school students.			
3. Expand and improve outreach programs for adults, reaching such groups as displaced workers, single parents, and adults returning after military service.			
4. Develop a first-year retention program with orientation for all full-time, part-time, and evening students. Such a program would include advising, an "early-warning" system, career counseling, and mentoring arrangements.			
5. Reduce by 50% during the next decade, the number of students who fail to complete the program in which they are enrolled.			
6. Bring together older and younger students and those from different ethnic and racial backgrounds to enrich learning.			
7. Make a commitment to the recruitment and retention of top quality faculty and to the professional development of these colleagues.			
8. Increase the percentage of faculty members who are Black, Hispanic, and Asian, by identifying future teachers from among minority students in high schools and community colleges and making graduate fellowships available to minority students who plan to teach in community colleges.			
9. Develop a faculty renewal plan, in consultation with the faculty, that includes campus workshops, faculty-led seminars, retreats, short-term leaves, and sabbaticals.			
10. Set aside at least 2% of the instructional budget for professional development, providing small grants to faculty members to improve teaching through an Innovative Teaching Fund.			

Our college is	Exemplary	Adequate	Inadequate
11. Develop policies and programs for the selection, orientation, evaluation, and renewal of part-time faculty.			
12. Avoid the unrestrained expansion of part-time faculty and assure that the majority of credits awarded are earned in classes taught by full-time faculty.			
II. Curriculum Recommendations *Community Colleges should . . .*			
13. Assess the reading, writing, and computational ability of all first-time community college students when they enroll.			
14. Place students who are not well-prepared in an intensive developmental education program.			
15. Ensure that college students become proficient in the written and oral use of English, with all students completing a college level writing course.			
16. Teach oral and written communication in every class, with student enrollment in the basic English course restricted to no more than 50 students and writing labs scheduled with sufficient blocks of time so that students may receive individual tutoring.			
17. Coordinate adult literacy programs as part of the public service mandate of the community college, urging that literacy responsibility be defined by statute at the state level.			
18. Require that all associate degree students complete a core curriculum that provides historical perspective, an understanding of our social institutions, knowledge of science and technology, and an appreciation of the visual and performing arts.			
19. Increase the impact of the core curriculum by presenting international perspectives in the curriculum, integrating the core into technical and career programs, and finding new ways to accomplish common learning goals for students enrolled in nondegree and part-time programs.			
20. Join with schools in 2+2 or 2+1 arrangements in which technical studies programs begun in high school are completed in a community college.			
21. Make experimental "inverted degree" models available in every state, through which specialized two-year programs would be followed by a general education sequence offered by a four- year institution.			
22. Insist that faculty close the gap between the so-called "liberal" and "useful" arts and that special attention be given to the selection of technical education faculty and administrators to assure that they can develop a up-to-date programs that integrate the core curriculum and technical education.			

Our College is	Exemplary	Adequate	Inadequate
23. Insure the viability of the Associate of Applied Science Degree by giving attention to communication, computation, and problem-solving competencies in addition to technical education skills.			
24. Develop a clear agreement among faculty, students, and administrators on what portions of the core curriculum are to be included in education programs.			
25. Work with employees to develop a program for recurrent education to keep the work force up-to-date and well educated.			
26. Introduce all students to the concept of life-long learning as part of the college orientation.			
27. Provide adult and continuing education programs that offer enrichment for citizens throughout their lives. Specifically, these programs need to draw on the intellectual and cultural resources of the college, reflect both community college needs and the education traditions of the institution, and be coordinated with schools, churches, and other groups to avoid unnecessary duplication.			
28. Emphasize civic literacy for adult continuing education programs by focusing on government, public policy, and contemporary issues.			
III. Instruction *Community Colleges should . . .*			
29. Insist that good teaching is the hallmark of the community college movement, with students encouraged to be active, cooperative learners.			
30. Restrict class size in core curriculum and developmental courses and encourage all faculty to teach core classes and continually strengthen the literacy skills of their students.			
31. Establish Distinguished Teaching Chairs or other appropriate recognitions for faculty who have demonstrated excellence in teaching.			
32. Promote the role of the faculty member as classroom researcher, focusing evaluation on instruction and making a clear connection between what the teacher teaches and how students learn.			
33. Develop a campus-wide plan for the use of computer technology in which educational and administrative applications are integrated.			
34. Develop incentive programs for faculty who wish to adapt educational technology to classroom needs.			
35. Establish a clearinghouse to identify educational software opportunities.			
36. Use technology to continue to extend the campus, providing instruction to the workplace, to schools, and to other community organizations.			

Our College is	Exemplary	Adequate	Inadequate
IV. Community College Recommendations *Community Colleges should . . .*			
38. Build community beyond the classroom by strengthening the traditions of the college as a community of learning and making a full range of support services available to all students, even on weekends and evenings.			
40. Insist that separation based on age, race, or ethnicity is not permitted and encourage collaboration between students with different backgrounds.			
41. Coordinate international activities--perhaps in a single office--using foreign students as campus resources for enriching student and faculty knowledge of other countries.			
42. Encourage student participation in community service programs and ask students who participate to write about their experiences.			
V. Community Partnership Recommendations *Community Colleges should . . .*			
43. Organize school/college consortia, developing a plan for educational excellence, identifying at-risk youth in junior high school, providing enrichment programs that make it possible for such students to complete high school, and providing local high schools with information on the academic performance of their graduates who go to college.			
44. Strengthen the transfer function of the community college by urging more students to consider a baccalaureate degree program and making a special commitment to increase transfer rates among Blacks and Hispanics.			
45. Insist on coherent two-year/four-year transfer arrangements in every state including the coordination of academic calendars and common course numbering in general education sequences.			
46. Encourage decision makers to use community colleges as a major resource in promoting state or regional economic development.			
47. Establish regional clearinghouses to keep track of emerging work force needs in areas served by the community college.			
48. Increase training partnerships and exchanges to provide continuing education opportunities for faculty and training/retraining for employers.			
49. Carefully integrate alliances with employers into existing community college programs and interests.			
VI. Leadership Recommendations *Community Colleges should . . .*			
51. Collaborate with universities to prepare a new generation of community college presidents, with special effort given to increasing the number of women and minority leaders.			

Our college is	Exemplary	Adequate	Inadequate
52. See the president as the foremost advocate for teaching and leading at the college.			
53. Strengthen their governance by relying on a wide range of decision-making processes that include collective bargaining, faculty senates, effective committee structures, or other mechanisms.			
54. Make substantive leadership development experiences available for faculty and administrators at each community college, with faculty leaders encouraged to more actively participate in these processes.			
55. Strengthen the role of community college trustees by stressing their role in selecting an effective leader and monitoring institutional goals, and by expanding the professional development of community college trustees.			
56. Refuse to confuse the role of the board of trustees with the role of internal governance; faculty, staff, and student representatives should not be appointed or elected to boards as voting members.			
57. Assure that state funding formulas fully acknowledge the nature of services provided to part-time students and the level of support required to serve unprepared students.			
58. Urge corporation, private foundations, and philanthropies to remove policies that restrict or prohibit giving to community colleges.			
59. Encourage business and industry to help underwrite start-up costs of technical programs in emerging and fast-changing technologies.			
VII. Assessment Recommendations *Community Colleges should . . .*			
60. Stress classroom evaluation as the central assessment activity of the college.			
61. Develop a campus-wide assessment of institutional effectiveness with faculty and administrators involved in explicitly defining educational outcomes.			
62. Insist that college-wide assessment measure student competence in literacy, general education, and areas of specialization.			
63. Conduct periodic interviews or surveys of current students, graduates, and employers of graduates to help determine institutional effectiveness.			

Comments

Appendix G

Strategic Issues: Backdrop Questions

Students:

1. Does our student population match the demography of our service area?

2. Are we effectively retaining various student groups--the old as well as the young, minority as well as majority, part-time as well as full-time?

3. Are programs and services reflective of various student contingents and their differing needs and interests, rather than being homogenized to serve everyone, at the same time and in the same way?

4. Are there particular subgroups at risk or in crisis in the external community that the college is not now serving but perhaps should serve?

5. Does an analysis of policy, procedures, and formal practice offer any evidence of institutional racism or sexism: a vestige of an earlier era of organizational life?

6. Are expectations of students spelled out and made available in a number of forms both to prospective and current students?

Faculty:

1. After selection, does the orientation and mentoring of new faculty continue for an extended period (at least once per year)?

2. Are new faculty given time to develop necessary skills, or are they assigned multiple preparations and the more difficult or less popular teaching assignments?

3. Has the college carefully articulated and planned development experiences to ensure that new and part-time faculty are committed to the community college philosophy and the students that philosophy encompasses?

4. Do part-time faculty's teaching assignments generally fall in the late afternoon and evening? Do they have adequate supervision? Are the support services they receive at those times roughly equivalent to services provided during the day?

5. What is the percentage of increase in minority faculty hired during the last five years? How does minority tenure compare to nonminority tenure rates?

6. Are there development programs in place to help current staff who lack certain qualifications acquire the needed skills or credentials?

7. What effort has been given to attracting significant numbers of minority faculty?

Curriculum:

1. Do all credit courses stress specific aspects of literacy?

2. Are interdisciplinary programs evident? Have they been institutionalized--provided resources and administrative support? Are they included in teaching load?

3. Are there clear patterns of continuity between credit and noncredit programs, with students flowing in both directions because matters of sequencing and timing have been considered.

4. Have faculty established effective prerequisite course guidelines that ensure that the majority of students entering particular courses will be able to perform at the necessary skill level?

5. Have programs been carefully coordinated and sequenced? For example, in a multicollege setting, can the institution ensure comparability of course and program credits?

6. Are the completion rates for the AA/AS and AAS degrees comparable? Are there real incentives (i.e., strong program reputation and transferability of credit) for completing an associate degree before pursuing a baccalaureate degree?

7. Are there close alliances between liberal and technical programs that help students cross these artificial mission boundaries?

8. Is program review vital and regular?

9. Does the *printed* curriculum (i.e., in the catalog) match the *taught* curriculum (i.e., in the classroom)? How do the printed and taught curricula compare to the *actual* curriculum (i.e., as experienced by students through their course-taking patterns)?

Teaching:

1. Is research on teaching and learning tied to classroom teaching through programs of professional development?

2. Is effective teaching the focus of programs that recognize/reward college faculty?

3. Are there formal programs and incentives in place that encourage faculty to pursue cooperative learning within the classroom?

4. Does allocation of fiscal resources reflect teaching and learning as a top institutional priority?
5. Do policies on overload, late registration, withdrawal, etc. reflect a strong college commitment to teaching and learning?

6. Does the college use instructional technology in ways that offer the classroom teacher additional resources for monitoring, record keeping, drills, practice, etc.?

7. Are the instructional implications of technology constantly explored, tested, evaluated, and, when appropriate, implemented?

8. Have all major employee groups been asked to define their roles in strengthening teaching and learning and in serving students?

Campus Community:

1. Do the timing and organization of programs and services reflect the needs of nontraditional students?

2. Has the college developed programs that are targeted to fit the needs of more than one contingent of students (e.g., young, full-time, returning, part-time)?

3. Are clear, multiple pathways set forth for achieving educational goals?

4. Are there physical spaces that are pleasant and welcoming to informal gatherings of students?

5. Does the college, especially its students, regularly interact with the larger community?

6. Are there highly visible programs that reflect cultural diversity and culturally diverse interests?

7. Does a cursory tour of the college campus reveal evidence of students and staff mingling informally across race, age, and cultural boundaries?

Partnerships:

1. Do faculty from various educational sectors in the community confer with each other in significant, ongoing ways?

2. Do top leaders, including boards and CEOs from various educational institutions and agencies, meet to discuss/resolve educational issues?

3. Is the dialogue between employers and the faculty of the technical programs that serve them substantive rather than cursory?

4. Are turf issues resolved quickly by college leadership?

5. Are collaborative skills and programs highly sought and valued by the college? Are collaborative programs emphasized and institutionalized over time?

6. Are there programs in place which students can begin in high school, continue in community college, and finish in a four-year institution?

7. Are there vital interinstitutional collaborations?

Leadership:

1. Do top leaders communicate a clear vision for the college and establish behaviors and guidelines for achieving it?

2. Are potential leaders identified early and then encouraged and supported through institutional assignments, mentoring, and formal educational experiences?

3. Are minorities and women a significant proportion of such a cadre?

4. Has the percentage of women and minorities in leadership roles risen significantly during the last five years? Has the growth kept pace with their proportionate representation in the job market and among the student body?

5. Are programs in place that encourage faculty to move beyond discipline interests and structures to focus on larger and more comprehensive leadership matters?

6. Do community college administrators demonstrate educational leadership, embodying the principles of great teaching and active learning? Do they insist on the need to focus on student needs? Do they relate to followers colleagues?

Assessment:

1. Have specific institutional outcomes, especially student learning outcomes, been delineated? Are there structures in place to asses these outcomes regularly?

2. Are all assessment activities clearly tied to planning?

3. Is there a growing contingent within the college community with the expertise to assess various aspects of institutional effectiveness? Is there an ongoing program of professional development to increase such a cadre?

4. Are programs in place which assess literacy and general education competence at the completion of a program of study?

Appendix H

Strategy Statement

The primary function of strategic planning is to provide avenues for critical decision making. The strategic planning *document* is secondary to the *process* of developing the document. As stakeholders and constituents objectively define, identify, and review college mission, vision, functions, and duties, the process of strategic/transition plan development becomes the foremost vehicle for change. The exercise of strategic/transition plan development will provide significant opportunity for team building, climate enhancement, and staff cohesiveness.

The process of strategic planning serves as a dual purposed function for the college: Plan development and team building. The following strategies identify issues which must be incorporated and implemented within the strategic planning process for the State Community College Transition.

The following outline will serve as a format/model for information to be included in the development of the transition plan for the college. Some of the ideas included within the model are shared from the American Association of Community and Junior Colleges (AACJC) publication *Building Communities Through Strategic Planning: A Guidebook for Community Colleges*.

I Establishment of Transition Management Team (TMT)

II Identification Strategic Issues (by the TMT)

III Appointment of Subsequent Transition Teams (by the TMT)

IV Environmental Scan (by Transition Teams)

V Hearings (by Transition Teams to the TMT)

VI Prioritization of Strategic Issues (from Team hearings)

VII Development of Transition Plan (by TMT)

The first step in the formulation of the strategy for transition/planning should include the development of a Transition Management Team (TMT). This team is a group of dedicated stakeholders from within the college and the surrounding community. The team should be between twelve and twenty members. This number will ensure that a significant team contingent will be present at each meeting. The primary purpose of the TMT is to identify strategic issues for the college and the community and to provide guidance, set time lines, determine goals and objectives for each of the subsequent transition teams.

After the team has identified several significant issues, a subsequent committee or team is assigned to address each issue. The time lines that have been established by the TMT will include dates for the first reading of the committee reports to the TMT. After the first reading of committee reports, an evaluation sheet shall be provided to each committee chair person identifying areas of concern and redress from the committee presentation. The TMT is to keep the committee report focused on the issues and assist in the guidance for issue resolution. A time frame shall be provided for the committee to "polish" the report for a second reading to the TMT.

A significant part of the team activities with regard to each strategic issue will include an environmental scan. This scan shall include strict scrutiny of internal operations, duties, and functions regarding the strategic issue. The external scan shall identify the impact the external constituents and stakeholders have on the college and how the college impacts the external environment. The environmental scan is a tool to be implemented to give constituents and stakeholders an objective view of how the community and the college impact and depend on each other.

After the second reading of the committee report on the issue assigned, the committee presents a final report of their findings. When all committees have presented their final report, the TMT will prioritize the issues in relative to the importance to the college and community. After the TMT has prioritized the issues there shall be another committee assigned to prepare the transition/strategic plan using all of the committee reports, and their findings which have identified all of the strategic issues for the college and the community.

Format Model For Strategic Plan Development

I. Introduction

A. Background
   1. College Historical View
   2. Nature of the Problem facing College/Community
   3. Significance of the Problem: Why is it an important issue?

B. Vision/Mission
   1. Mission Statement must be clear, concise, and attainable.
   2. Vision Statement must incorporate community, college and collaborative effort for both.

C. Synergy
   1. Relate the problem to lack of Vision/Mission consistency and lack of collaboration for community and college.
   2. Identify how the Vision/Mission will be the foundation for the problem resolution.
   3. Identify the fundamental concerns of the college and the community and joint effort concerns. The college and the community should:

      a. Enhance community value placed on education raising both the expectations of the community as a whole and the educational achievements of the citizenry.

      b. Promote the perception and the reality of an educated citizenry as the crucial cornerstone for economic development, improved quality of life, and an effective democratic form of government.

      c. Develop and support the college as a center of lifelong learning, with a primary focus of student success, and educational programs tailored to the needs of the community.

      d. Extend educational services to potential student populations that are underserved.

      e. Aggressively pursue efforts to increase financial resources including state funding, business and industry, and other potential funding sources.

D. Identification of Shared Values (College and Community)
The regional community and the college community are committed to ensuring these values.

1. Our Work Must Serve The Community

   There should be a statement of mutual commitment for the college and the community toward serving the community.

2. Our Students Deserve Our Best

   A statement of student expectations and commitment to assist in attaining the goals of those expectations.

3. Our Community Must Be a Good Place To Live

   The college and the community leadership commitment to promoting college and community cooperation to guarantee a true sense of *community*.

4. Our College Must Be a Good Place to Work

   Identification of community as a foundation and the college as the catalyst for mutual growth and development for students leading to overall success for all stakeholders.

E. Planning Assumptions
Statements which describe perceived future conditions and trends which are likely to have significant impact on the college and the community. These assumptions provide a common framework within which further operational planning and implementation efforts will be carried forward. Examples of planning assumptions include:

1. In order to ensure effectiveness and efficiency in serving students and the community, and also in order to comply with criteria for regional accreditation, the college will engage in systematic, ongoing processes for planning, evaluation, and institutional growth.

2. The college will continue to benefit from strong and informed community interest, involvement, and support for the development of the college.

3. A statement of economic status of the region and college commitment to enhance current economic situation relative to training, retraining, and employment opportunities.

4. The commitment of the college to the development and enhancement of the arts and humanities for community enjoyment.

II. Trends and Issues

There were five issues and trends identified by the formative committee which need to be considered and be included in the transition plan for State Community College.

A. District Issues
B. Curriculum Issues and Trends
C. Student Trends
D. Funding Issues
E. Administrative Issues and Trends

III. Obligation and Commitment

A. Stated college commitment and obligation and activities to perform toward each of the objectives and Strategic Issues.
B. Stated community commitment and obligation and activities to perform toward each of the objectives and Strategic Issues.

IV. Performance Measures

A. Measures must be identified to determine if issues, goals, and objectives have been met and to what extent they have been met.
B. There also must be a statement of commitment and obligation by the college and the community identifying what part each entity will play in the determining of performance measures and goal attainment.

Appendix I

Trends and Issues
(Outline)

The Formative Committee provided input for the identification of specific trends and issues that are deemed to be significant to the formulation of the transition plan for State Community College and the surrounding community. There were five major areas of concern which were identified as being significant which include:

I. District Trends and Issues
   A. District Demographics
   B. Business and Industry Partnerships
   C. Community and District Synergy and Involvement
   D. Recognize Necessity of Shared Values

II. Curriculum Trends and Issues
   A. Basic Curriculum Review/Revision
   B. Program Development and Improvement
   C. Sustain and Strengthen Academic Quality for Students
   D. Career Training

III. Student Trends
   A. Student Demographics
   B. Student Recruitment/Retention
   C. Student Preparedness/Preparation for College Level Work
   D. Enrollment and Matriculation

IV. Funding Issues
   A. State/Federal Funding Projections
   B. Taxation Trends/Projections (District wide)
   C. Alternative Funding Sources
   D. Other Taxable Activities

V. Administrative Trends and Issues
   A. Mission and Vision Statement
   B. Synergizing Mission/Vision Statements to Transition Plan
   C. Organizational Structure of the New College
   D. Employment Projections for the New College
   E. Staff and Organizational Development Activities Curriculum Trends and Issues

I. District Trends and Issues

District Demographics

The college must consider what the district demographics will be and what demographic trends have surfaced over the past few years. The income, ages, sex, and other significant information about the district population is of utmost importance to the college and transition planners.

Business and Industry Partnerships

One important component of student learning is the awareness of positions, jobs, and companies willing to hire and what training those industries seek. The college will need to develop partnerships with business and industry for internships, practicum work for students, and for guidance for curricular development issues.

Community and District Synergy and Involvement

It is necessary to strengthen internal and external communication, collaboration, and articulation between the college and the community.

Recognize Necessity for Shared Values

It is necessary to create a positive campus community by promoting shared values and celebrating student, employee, college and community achievements.

II. Curriculum Trends and Issues

Basic Curriculum Review/Revision

The college will need to update curriculum and instruction to meet the needs of a global and technological community.

Program Development and Improvement

The college must promote the primacy of learning and student development which transcends the classroom and the syllabi and creates lifelong learning potential.

Sustain and Strengthen Academic Quality for Students

Recommendations for this activity will include upgrading the library, increase proportion of full-time faculty/students, provide facilities for quality programs and design institutional effectiveness plans.

Career Training

The college planners will need to incorporate consideration for the provision of career training and educational programs which are up-to-date, state-of-the-art, and contemporary to economic and technological trends and issues.

III. Student Trends

Student Demographics

It is necessary for transition planners to review historical and projected student demographics for the district. How old are students, what populations can we expect in the next 5, 10, 15 years, how well prepared are the in-coming students?

Student Recruitment and Retention

What programs can be implemented to draw more students, and how can the college keep them once they are in those programs. What trends are to recruit and keep students?

Student Preparedness/Preparation

How prepared are the new students to take college level courses? Is it necessary to provide remediation programs, is it possible to articulate with local feeder high schools for student preparation? How can the college address the lack of student preparedness?

Enrollment and Matriculation

What are student academic needs, wants, and how can the college meet those needs? How are students being prepared by this college to face the challenges after they leave our college? Do we provide what is necessary for them to be successful and are we providing program quality for them to want to come back to us as lifelong learners?

IV. Funding Issues

State and Federal Projections

The planners will need to determine through records, funding formulas, and any other means possible, what the funding sources will provide and determine the budgets the new college will have to operate.

Taxation Trends and Projections

What kinds of taxes are currently in place for the college district and what will be projected income based on current taxing trends? Is it possible to develop new taxes, and what can be done to increase taxable income of the college district?

Alternative Funding Sources

What types of grants and alternative funding sources will be available to the new college, what will the new college do to secure external funding sources other than tax and state formula funding sources? It will be necessary for the college to strengthen and create new sources of revenue.

Other Taxable Activities

Located in close proximity (in district) to the college are several (not less than ten) "dance-halls", "strip-joints", "topless-bars", and a casino boat. There will need to be research conducted to determine if it is possible to secure a "Sin-Tax" on these activities to generate money for the college?

V. Administrative Trends and Issues

Mission/Vision Statements

The Mission Statement and the Vision Statement for the college are two of the most important sets of statements the college can make. They indicate what the college is, what the college intends to do, how the college will do what it intends to do and how the college sees itself in future markets. They need to be concise, succinct, and significant.

Synergizing Mission/Vision to Transition Plan

Not only are the Mission and Vision Statements important, they do need to be tied into and synergized with the transition plan. If the Mission and Vision statements are only to "have something on file", the mission is lost, and the vision will never be realized. The transition plan needs to be directly related to the mission and vision statements.

Organizational Structure of the New College

It is important to determine the organizational structure of the new college. Decisions will need to be made relative to employment opportunities for new college employees, and how the duties of the positions with the new college will change from current practice.

Employment Projections for the New College

What positions will be available, how will those positions be filled, will current employees be given a chance to apply for positions with the new college. Decisions need to be made as to how the employment procedures for the positions will be handled. Determinations need to be made as to the positions that will be available.

Staff/Organizational Development Activities

It will be necessary for the organization to enhance programs and services which will attract, appreciate, and support diversity in students, faculty and staff.

BIOGRAPHICAL SKETCH

Timothy D. Gould

Tim has spent his professional life helping people realize personal growth. After graduating from college he became a Juvenile Officer and assisted youth and families through difficult periods in life. After 10 years as a Juvenile Officer Tim became a college coordinator for a post secondary educational program in a prison. For the next ten years Tim started two college programs in prisons and worked for four different colleges in two separate states.

The most recent professional experience for Tim has been to assume the duties as the campus director position for a private proprietary college in St. Louis.

Tims educational accomplishments include:

1. B.S. Criminal Justice
2. M.A. Psychological Counseling
3. M.S. Public Administration